



STEVEN L. BESHEAR
GOVERNOR

CABINET FOR HEALTH AND FAMILY SERVICES
DEPARTMENT FOR PUBLIC HEALTH
DIVISION OF
ADULT AND CHILD HEALTH IMPROVEMENT
275 EAST MAIN STREET, HS2W-C
FRANKFORT, KENTUCKY 40621
(502) 564-3756, (502) 564-8389 FAX

Janie Miller
Secretary

April 14, 2008

Ruth Ryder
U.S. Department of Education, OSERS
Office of Special Education Programs
400 Maryland Ave., S.W., Rm 4144, PCP
Washington, DC 20202-2600

Dear Ms. Ryder,

Thank you for allowing states the opportunity to address OSEP's initial APR findings. Kentucky has reviewed OSEP's comments with much interest and has updated the FFY 2006 APR as follows:

Indicator #1, Page 2:	Kentucky has provided clarification regarding the measurement
Indicator #1, Page 2:	Kentucky has provided clarification regarding the failure to account for untimely receipt of services
Indicator #1, Page 3:	Kentucky explained why program-specific follow-up activities were not conducted
Indicator #1, Page 7:	Kentucky expanded on Improvement Activity #8
Indicator #1, Page 7:	Kentucky has provided clarification regarding the failure to account for untimely receipt of services
Indicator #1, Page 8:	Kentucky has provided clarification regarding the failure to account for untimely receipt of services
Indicator #3, Page 2:	Kentucky restated that entry data was provided as required in the FFY 2005 APR
Indicator #3, Page 4:	Kentucky modified the data in tables 1b and 1c to include those children with exit data within 15.5 weeks of the child's third birthday
Indicator #3, Page 5:	Kentucky clarified its definition of an "exiting child"
Indicator #4, Pages 2 – 3 and 5 - 6:	Kentucky corrected Table 2 to include the actual numbers used in the calculation
Indicator #7, Page 1:	Kentucky provided information related to correction of noncompliance identified in FFY 2004
Indicator #7, Page 2:	Kentucky corrected the 2007 n
Indicator #8, Page 2:	Kentucky provided information related to correction of noncompliance identified in FFY 2004
Indicator #9, Page 5:	Kentucky explained why program-specific follow-up activities were not conducted
Indicator #14, Pages 2 – 3:	Kentucky revised its APR/618 data rubric

Kentucky would like to draw specific attention to Indicator 3. Kentucky's Part C FFY 2005 SPP/APR Response Table stated that entry data was not provided. Kentucky did provide entry data in its FFY 2005 APR. Kentucky discussed this matter with its state contact following receipt of the June 15, 2007 letter. The state contact was unable to determine why the Response Table indicated that entry data was not provided.

The KY Part C FFY 2006 SPP/APR Status Table again states that Kentucky's FFY 2005 APR did not report entry data for Indicator 3. Kentucky feels it important to resolve this matter. Please review Kentucky's FFY 2005 APR. Indicator 3, Page 2, Figure 1 provides entry data, as required.

Kentucky commends OSEP's thorough review of the FFY 2006 APR and is grateful for this opportunity to provide correction and clarification in advance of OSEP's FFY 2006 determination. If I can be of assistance to you in your review of Kentucky's FFY 2006 APR, please don't hesitate to contact me. You can reach me at 502/564-3756 x3973.

Sincerely,

A handwritten signature in black ink, appearing to read "Kirsten Hammock". The signature is fluid and cursive, with the first name "Kirsten" and last name "Hammock" clearly distinguishable.

Kirsten Hammock,
Part C Coordinator



**CABINET FOR HEALTH AND FAMILY SERVICES
OFFICE OF THE SECRETARY**

Steven L. Beshear
Governor

275 East Main Street, 5WA
Frankfort, Kentucky 40621
(502) 564-3970
(502) 564-9377
www.chfs.ky.gov

Janie Miller
Secretary

February 1, 2008

US Department of Education
ATTN: Janet Scire/Mail Stop 2600
7100 Old Landover Road
Landover, Maryland 20785-1506

Dear Ms. Scire:

Enclosed is the Kentucky Part C (First Steps) Annual Performance Report, which covers performance during State Fiscal Year 2007 (Federal Fiscal Year 2006) in accordance with the Individuals with Disabilities Education Improvement Act of 2004, signed in December, 2004.

This plan demonstrates Kentucky's progress toward the rigorous performance targets set forth in the State Performance Plan submitted in December, 2005. The First Steps Program continues to strive to provide excellent services and supports to infants and toddlers with disabilities and/or developmental delays in Kentucky.

If you have any questions or concerns regarding the information in this report, please contact Kirsten Hammock, Part C Coordinator, at (502) 564-3756, extension 3973.

Sincerely,


Janie Miller
Secretary

Enclosure

**ANNUAL REPORT CERTIFICATION OF THE
INTERAGENCY COORDINATING COUNCIL
UNDER PART C OF THE
INDIVIDUALS WITH DISABILITIES EDUCATION ACT (IDEA)**

Under IDEA Section 641(e)(1)(D) and 34 CFR §303.654, the Interagency Coordinating Council (ICC) of each jurisdiction that receives funds under Part C of the IDEA must prepare and submit to the Secretary of the U.S. Department of Education (Department) and to the Governor of its jurisdiction an annual report on the status of the early intervention programs for infants and toddlers with disabilities and their families operated within the State. The ICC may either: (1) prepare and submit its own annual report to the Department and the Governor, or (2) provide this certification with the State lead agency's Annual Performance Report (APR)¹ under Part C of the IDEA. This certification (including the annual report or APR) is due no later than February 1, 2008.

On behalf of the ICC of the State/jurisdiction of Kentucky, I hereby certify that the ICC is: [please check one]

1. ☐ Submitting its own annual report (which is attached); or
2. ☒ Using the State's Part C APR for FFY 2006 in lieu of submitting the ICC's own annual report. By completing this certification, the ICC confirms that it has reviewed the State's Part C APR for accuracy and completeness.²

I hereby further confirm that a copy of this Annual Report Certification and the annual report or APR has been provided to our Governor.



Signature of ICC Chairperson

January 29, 2008
Date

Lynne J. Flynn, ICC Chair

Dept. for Medicaid Services, 275 East Main,

6W-A, Frankfort, KY 40621 lynne.flynn@ky.gov
Address or e-mail

502/564-4321
Daytime telephone number

¹ Under IDEA Sections 616(b)(2)(C)(ii)(II) and 642 and under 34 CFR §80.40, the lead agency's APR must report on the State's performance under its State performance plan and contain information about the activities and accomplishments of the grant period for a particular Federal fiscal year (FFY).

² If the ICC is using the State's Part C APR and it disagrees with data or other information presented in the State's Part C APR, the ICC must attach to this certification an explanation of the ICC's disagreement and submit the certification and explanation no later than February 1, 2008.

Overview of Kentucky's Annual Performance Report (APR) Development Process

Kentucky's SPP/APR Workgroup is a broad stakeholder group comprised of parents and providers, First Steps Central Office staff, regional Point of Entry (POE) staff, Technical Assistance Team (TAT) staff and Interagency Coordinating Council membership. The SPP/APR Workgroup has met on a monthly basis since November, 2006. Each month the workgroup discussed updates from the Office of Special Education Programs (OSEP); new SPP/APR resources and materials; available data and data needs; the status of improvement activities and the impact of the improvement activities on program performance.

Workgroup subcommittees were created around SPP/APR indicators. Subcommittees completed the initial review and analysis of all data related to their indicator, sought and obtained additional data and related information when necessary, updated the workgroup on the status of improvement activities and program performance related to their indicator and completed the APR or SPP template. Subcommittees met both during and in between full Workgroup meetings and contributed a significant amount of time and effort to the APR development process.

Kentucky's Interagency Coordinating Council (ICC) was represented on the SPP/APR Workgroup and the full Council reviewed the FFY 2006 APR prior to its submission on February 1, 2008. The FFY 2006 APR will be posted to the First Steps website for the public to review on February 1, 2008 and the performance of each district (EIS program) on the targets in the SPP will be reported to the public via the First Steps website no later than June 30, 2008. The First Steps website is:

<http://chfs.ky.gov/dph/firststeps.htm> .

Part C State Annual Performance Report (APR) for FFY 2006

Overview of the Annual Performance Report Development: see *Overview of Kentucky's State Annual Performance Report Development Process*.

Monitoring Priority: **EARLY INTERVENTION SERVICES IN NATURAL ENVIRONMENTS**

Indicator 1 – Percent of infants and toddlers with IFSP's who receive the early intervention services on their IFSP's in a timely manner. (20 USC 1416(a) (3) (A) and 1442)

Measurement: Percent = # of infants and toddlers with IFSP's who receive the early intervention services on their IFSP's in a timely manner divided by the total # of infants and toddlers with IFSP's times 100.

FFY	Measurable and Rigorous Target
2005 (2005-2006)	100% of infants and toddlers with IFSP's will receive the early intervention services on their IFSP's in a timely manner.
2006 (2006-2007)	100% of infants and toddlers with IFSP's will receive the early intervention services on their IFSP's in a timely manner.
2007 (2007-2008)	100% of infants and toddlers with IFSP's will receive the early intervention services on their IFSP's in a timely manner.
2008 (2008-2009)	100% of infants and toddlers with IFSP's will receive the early intervention services on their IFSP's in a timely manner.
2009 (2009-2010)	100% of infants and toddlers with IFSP's will receive the early intervention services on their IFSP's in a timely manner.
2010 (2010-2011)	100% of infants and toddlers with IFSP's will receive the early intervention services on their IFSP's in a timely manner.

Actual Target Data for FFY 2006: This is our current data. Last years data follows for comparison.

Statewide during FFY 2006 (July 1, 2006 through June 30, 2007) 80% (n = 5,218) of all children in Part C were deemed to have received all services listed on their IFSPs occurring during the year in a timely fashion (Figure 1). Services considered timely were those initiated in less than three weeks (21 days) from the service start date and included all services on ~~both initial IFSPs and existing IFSPs where a new service was added~~ all plans in effect during FFY 2006. This is a more strict measurement than that required by OSEP. Kentucky will investigate relaxing the measurement to all services on initial IFSPs and only new services on subsequent IFSPs for the FFY 2007 APR to bring Kentucky's data in line with other states. Percentages were based on a total of 6553 children served throughout FFY 2006. This total was slightly lower than the total number of children eligible for First Steps services as it did not include those children receiving only Primary Service Coordination.

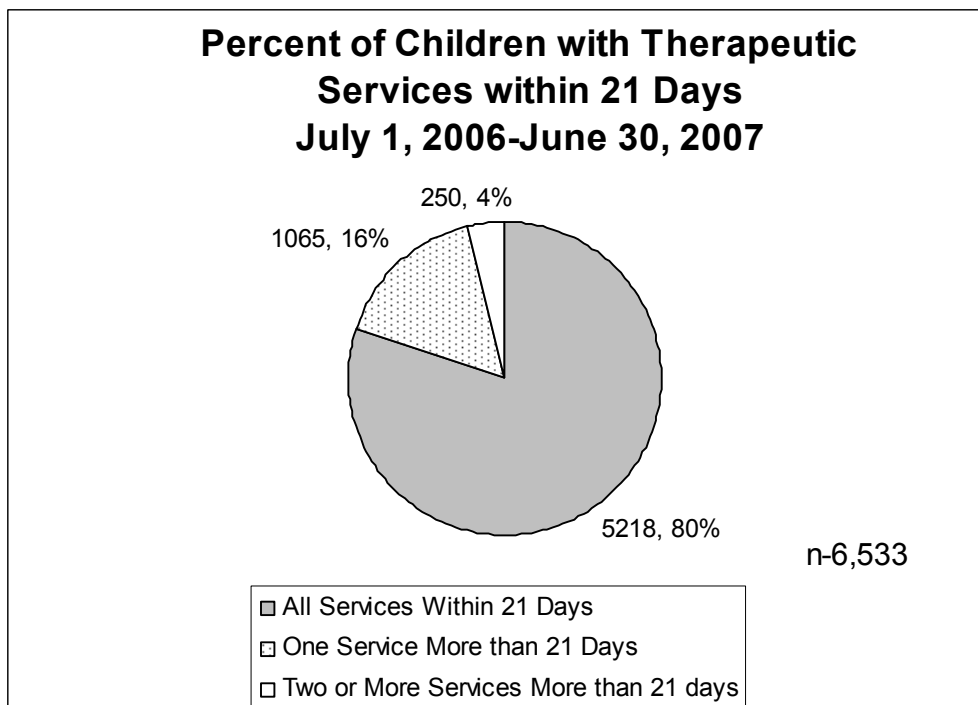


Figure 1

For FFY 2006, the state of Kentucky was not able to report **by child** the reasons for delay in service provision as this data was not collected on a systematic basis for this reporting period. Additional analyses were completed, however, to provide further information about when and where services were delayed to assist in the development of potential strategies and activities to correct this noncompliance. Although still out of compliance with the federal mandates for this indicator which require 100% compliance, the data below shows that Kentucky has been serious about correcting this noncompliance and has developed a number of new strategies to address the data reporting for and noncompliance of this indicator.

As can be seen in Figure 2, Kentucky's population of children in the program included a large number of children receiving more than one early intervention service. While 36 percent of the population received only one early intervention service, 29 percent were receiving two early intervention services, an additional 14 percent received three intervention services, and an additional 8 percent were receiving four or more intervention services throughout the year.

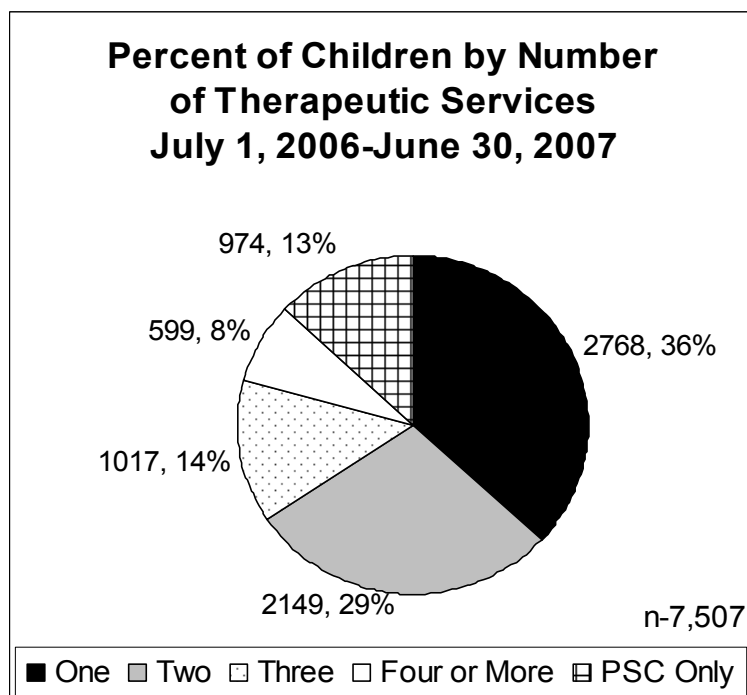


Figure 2

Kentucky selected its EIS programs based on the 15 Districts responsible for local implementation of the Part C Early Intervention program. Examination of timely service delivery by discipline (Figure 3) and district (Figure 4) allowed for further examination of the patterns of timely service delivery across various services and areas. Service provision in Kentucky occurs in 15 regional districts. Thus, these additional analyses were completed to examine patterns of service delay as well as potential reasons for service delay. As can be seen below, timeliness of service delivery varied greatly by type of service provided. Services typically provided on a less frequent basis (e.g. monthly or less than monthly), including audiology services, nutrition and dietitian services, orientation and mobility services, services for the visually impaired, and assistive technology services, were provided in a “timely” manner on a significantly less frequent basis than other services typically provided on a more frequent basis (e.g. physical therapy, occupational therapy, speech therapy).

Some variability was observed across districts. ~~-, with several of the more rural districts reporting less timely service provision.~~ However, that variability was not sufficient to target specific programs for follow-up activity. ~~As noted above, however, Kentucky did not systematically record the reasons for the delay during FFY 2006 so data regarding why the services were not provided in a timely fashion are not available for this reporting period.~~

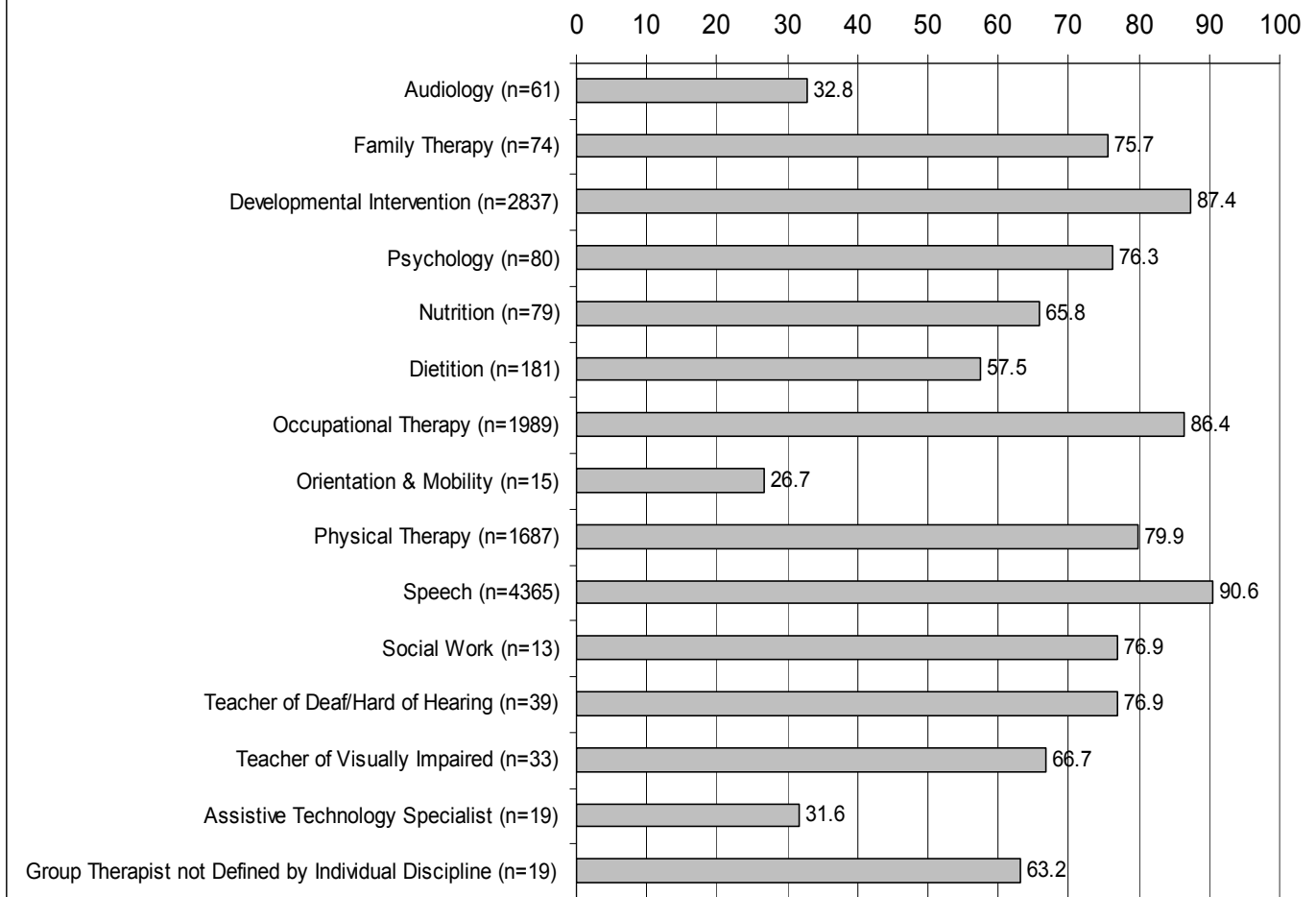
Percent of Children Receiving Service Within 21 Days

Figure 3

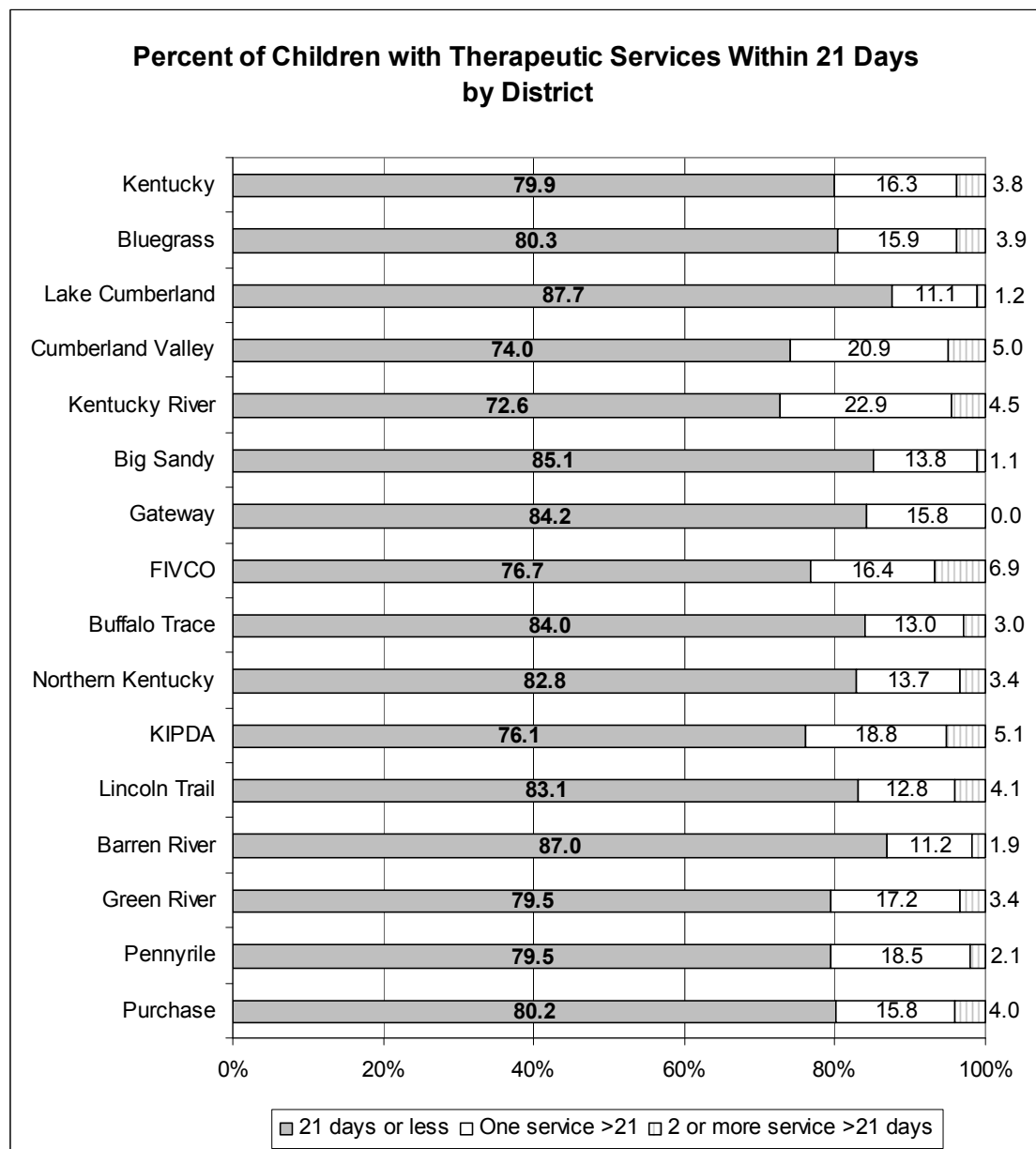


Figure 4

APR Template – Part C (4)

KENTUCKY
State

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2006:

IMPROVEMENT ACTIVITY	TIMELINE	STATUS
1. Allow Primary Level Evaluators to provide intervention services in areas of provider shortages to minimize the impact of provider shortages on timely service provision.	July 2005	Completed. Although this was always allowed, in the past there was misinformation throughout the state regarding this issue. This point has been clarified across the state, opening up a host of early intervention providers in areas of shortage where service initiation might otherwise be delayed secondary to provider shortages.
2. Provide training to the Technical Assistance Teams on service provision in a timely manner.	January 2006	Completed.
3. Provide training to the Service Coordinators on service provision in a timely manner.	March – June 2006	Completed. Information regarding the timely provision of services is included in the First Steps Service Coordination Training and was shared with all POE staff.
4. Provide training to the Service Providers on service provision in a timely manner.	March – August 2006	Completed. Information regarding the timely provision of services is included in Provider Orientation training and has been shared on multiple occasions and in multiple formats with current service providers.
5. Provide Monitoring to review effects of training on service provision in a timely manner.	September 2006 – June, 2011	Ongoing. Convened group of program evaluators and central office staff to evaluate current monitoring system and make changes as needed.
6. Investigate requiring semi-annual meetings/trainings for all providers in order to have a regular venue for trainings on changes and new developments such as timely services.	July 2006 – June 2007	Completed. CSPD Committee reconvened and supported this recommendation.

APR Template – Part C (4)

KENTUCKY
State

IMPROVEMENT ACTIVITY	TIMELINE	STATUS
7. Investigate having all independent Primary Service Coordinators under an umbrella of support, mentoring and supervision in order to observe and verify effects of training on topics such as timely services.	July 2008 – June 2009	Ongoing. Stakeholder workgroup convened in 2007 and recommended merger of PSC and ISC under the administrative umbrella of the POE. First Steps Central Office has investigated the financial and logistical implications of this recommendation and has found that this is not financially feasible in SFY09. First Steps Central Office is taking steps toward implementing this recommendation in SFY10.
8. Implement a system to gather data regarding the specific reason(s) for noncompliance with the initiation of services on the IFSP in a timely manner.	July, 2007 – June 2009	Ongoing. Discussions completed to identify the program needs with regard to specific data. A proposed policy for data collection regarding reason for delay was drafted and presented to the Points of Entry. The proposed policy has also been opened for public comment and is now scheduled to go into effect in January 2008. In addition, the First Steps Program is working to develop a web-based data management system that will capture a primary reason for failure to initiate services in a timely manner.
9. Monitor the implementation of all Improvement activities, assess their impact on the initiation of services on the IFSP in a timely manner, and revise as necessary.	July, 2007 – June 2011	Ongoing.

Discussion of Progress:

Kentucky is unable to account for untimely service provision at the child level because, as noted earlier, Kentucky did not systematically record the reasons for delays in timely service provision in FFY 2006. The following discussion of progress does, however, provide an explanation of the data, including an accounting for some of the variances observed in the data (Figure 3 for example).

With regard to specific improvement activities, Kentucky has worked hard to complete proposed activities as quickly as possible and in many instances has been able to complete activities well ahead of proposed timelines. Despite these efforts, however, Kentucky has made little improvement on this indicator from FFY 2005 to FFY 2006. Examination of the current data clearly suggests that the data presented may not be an accurate reflection of timely service provision. Specifically, it has been observed that those services typically provided on a less frequent basis (typically less than one time per month and often only one time per IFSP plan) were those services most likely to be deemed “untimely.” Although “service start date” has always been a “field” of data entry on the IFSP, it may be that service coordinators have

mistakenly recorded the service start date and the IFSP date as one and the same. Because some services at the IFSP may not be planned until several months into the plan, the service start date might very well be significantly disparate from the IFSP date. However, because Kentucky has not had a method of systematically documenting the reasons for delayed timely service provision, the specific reasons for and circumstances regarding delays in timely service provision can only be speculative for this reporting period. It is speculated that many of the services deemed “untimely” by the current accounting methods may well have been provided on a timely basis were the service start date recorded correctly. However, data regarding this issue are not available at this time. Further, during FFY 2006, reasons for delays in service provision including those that were family driven were also not obtained. Kentucky is moving toward a more consultative model of service delivery as well. Such a system of service delivery decreases the more traditional emphasis on weekly service provision for all services to one where services are provided more frequently by one primary service provider and less frequently by other service providers who consult with the primary service provider and the family often on a less frequent and “as needed” basis. For this reason, in the future more services and types of services might be provided on less frequent basis than they are currently being provided, making it all the more imperative that Kentucky develop a system of reporting of timeliness of service provision that accurately reflects timeliness irrespective of the frequency of service. This is clearly a major point of emphasis for Kentucky at present and we are moving ahead rapidly to provide such a system of accounting.

As noted earlier, some variability in timely service provision was observed across districts. That variability was not sufficient to target specific programs for follow-up activity as issues were deemed systemic rather than program-specific. Kentucky has made the timely service provision a point of emphasis among all providers over the past year and several new strategies have come out of formal and informal discussions with stakeholder groups and workgroups. In particular, Kentucky was concerned that data regarding timely service delivery was not available in time to impact and/or resolve the delay for the child/family. In response, a policy was developed which requires primary service coordinators to report service delays to the regional Point of Entry Manager immediately. The POE Manager is then contractually obligated to work with the PSC to resolve the delay as quickly as possible. Additionally, the POE Manager must report any children who continue to have their services delayed at the end of a given month to First Steps Central Office so that Central Office staff can assist in resolving the service delay.

Data analyses completed for FFY 2006 clearly highlighted the variability of timely service provision across various services. Because of the variability in timely service provision across various services and because it is speculated that many of the less frequent services were likely provided as scheduled but appeared “untimely” because of a recording error in the start date, Kentucky also plans a significant educational outreach effort to all providers highlighting this issue and reviewing procedures for recording start dates for services. This educational outreach has already begun and will continue during early 2008 to correct potential flaws in the reporting process as soon as possible.

To keep districts updated on their performance on this and other indicators, individual district data is now reported on a quarterly basis and posted annually on the program website and information regarding timeliness of services will also be included in these reports. Further, the added emphasis on reporting reasons for delay to begin in January 2008 will serve as an additional reminder to all service providers regarding the importance of this issue to children and families in the program. Points of entry continue to meet with their respective technical assistance teams on a regular basis to review performance data and develop district specific strategies to address areas of concern. Because TAs serve multiple districts, they have the advantage of working with high performance districts and observing directly the strategies of these high performance Points of Entry that they can then share with districts performing less well.

As was mentioned earlier, Kentucky has not had a method of systematically documenting the reasons for delayed timely service provision. Therefore, the specific reasons for and circumstances regarding delays in timely service provision can only be speculative for this reporting period. Kentucky is working to secure a data management system that will accommodate this need. This data system will allow Kentucky to more clearly define areas affected by untimely service delivery in a timely manner in order to directly and quickly target intervention.

APR Template – Part C (4)

KENTUCKY
State

Several new improvement activities are also proposed below. These new improvement activities have come out of several sources, including root cause analyses completed by lower performing districts, discussions with districts performing well, and many stakeholder meetings and workgroups that have been completed over the past year in an effort to make Kentucky's program one of excellence for children and families affected by disability in the state.

APR Template – Part C (4)

KENTUCKY
State

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2006

IMPROVEMENT ACTIVITY	TIMELINE	JUSTIFICATION
10. Provide targeted training to all service coordinators and service providers regarding the “effective date” or start date of services.	January 2008 – July 2008	<p>Resources: First Steps Training Coordinator and First Steps Technical Assistance Teams</p> <p>Justification: Examination of timely service provision data clearly shows that services that are typically provided on a less frequent basis are most often those that are deemed “not timely” in our current system of reporting. It appears that providers are not correctly reporting the expected “effective date” or start date of these less frequent services, making them appear as not timely when in fact they may have been provided at the appropriate time interval.</p>
11. Investigate developing a provider matrix for service provision to make the process of selecting and scheduling service providers less time consuming.	July, 2008 – June 2009	<p>Resources: First Steps Central Office</p> <p>Justification: Kentucky is in need of a statewide provider matrix that would facilitate families and service providers in finding and choosing appropriate and available services providers. This would allow for more efficient scheduling and decrease time from service addition to service start date.</p>
12. Recruit and retain an adequate supply of service providers to meet service provision needs.	July, 2008 – June 2011	<p>Resources: First Steps Central Office and District Point of Entry Managers</p> <p>Justification: Some areas of Kentucky continue to experience provider shortages that have a direct impact on provision of services in a timely manner. Implementation of a new system documenting the reason for service delay will be useful in identifying specific areas of provider shortage.</p>
13. Implement mandatory semi-annual meetings/trainings for all providers in order to have a regular	July 2008 – June 2009	<p>Resources: First Steps Central Office and State CSPD Workgroup</p>

APR Template – Part C (4)

KENTUCKY
State

venue for trainings on topics such as timely service provision.		Justification: Mandatory semi-annual training is necessary for all providers to allow targeted training and policy and procedure updates as well as technical assistance on a regular basis. At this time, Kentucky has mandatory training for evaluators and service coordinators but has no formal means to assure other service providers are staying abreast of important issues in the First Steps system.
---	--	---

Part C State Annual Performance Report (APR) for FFY 2006

Overview of the Annual Performance Report Development: see *Overview of Kentucky's State Performance Plan Development Process document*.

Monitoring Priority: Early Intervention Services in Natural Environments

Indicator 2: Percentage of infants and toddlers who primarily receive services in the home or community based settings.

Measurement: Percent = # of infants and toddlers with IFSPs who primarily receive early intervention services in the home or community based settings divided by the total number of infants and toddlers with IFSPs times 100.
--

FFY	Measurable and Rigorous Target
2006 (2006-2007)	98.7% of infants and toddler with IFSPs will receive the early intervention services in the home or community based settings.
2007 (2007-2008)	98.7% of infants and toddlers will receive early intervention services in the home or programs for typically developing children.
2008 (2008-2009)	98.7% of infants and toddlers will receive early intervention services in the home or programs for typically developing children.
2009 (2009-2010)	98.7% of infants and toddlers will receive early intervention services in the home or programs for typically developing children.
2010 (2010-2011)	98.7% of infants and toddlers will receive early intervention services in the home or programs for typically developing children.

Actual Target Data for FFY 2006:

In FY 2006 Kentucky data substantiate 99.3% of infants and toddlers received early intervention services in the home or programs for typically developing children. In 2005 Kentucky's goal was to maintain the 98.7 target. Again we have exceeded this and our future targets through 2010. Future targets remain consistent and Kentucky will focus on maintaining a high percentage of compliance.

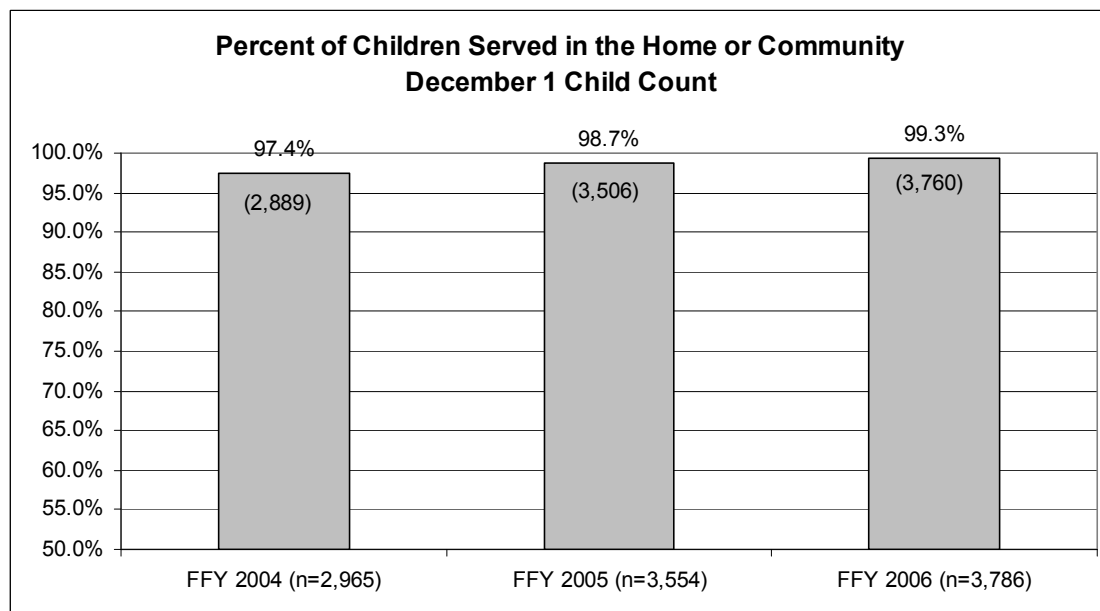


Figure 1

Data from December 1, 2004 is not comparable to previous years due to reporting changes. We now report all categories specified in the Section 618 data. Data for the children identified with IFSPs on December 1, 2005 for whom we collected surveys from the primary service coordinator in September, 2006 is shown in figure 1 and compared to data identified with IFSPs on December 1, 2006 for whom we collected settings data at the time of the six-month plan review.

Data was collected from primary service coordinators serving the child responding to the question "Where were the majority of the child's services delivered" and given a range of options. A review of the data from 2004, 97.4% received services primarily in either home or community locations. Data for 2005 show the percentage was 98.7%. The current data show 99.3% of participating children received the majority of services in the home or community settings. This exceeds performance targets through FFY 2010.

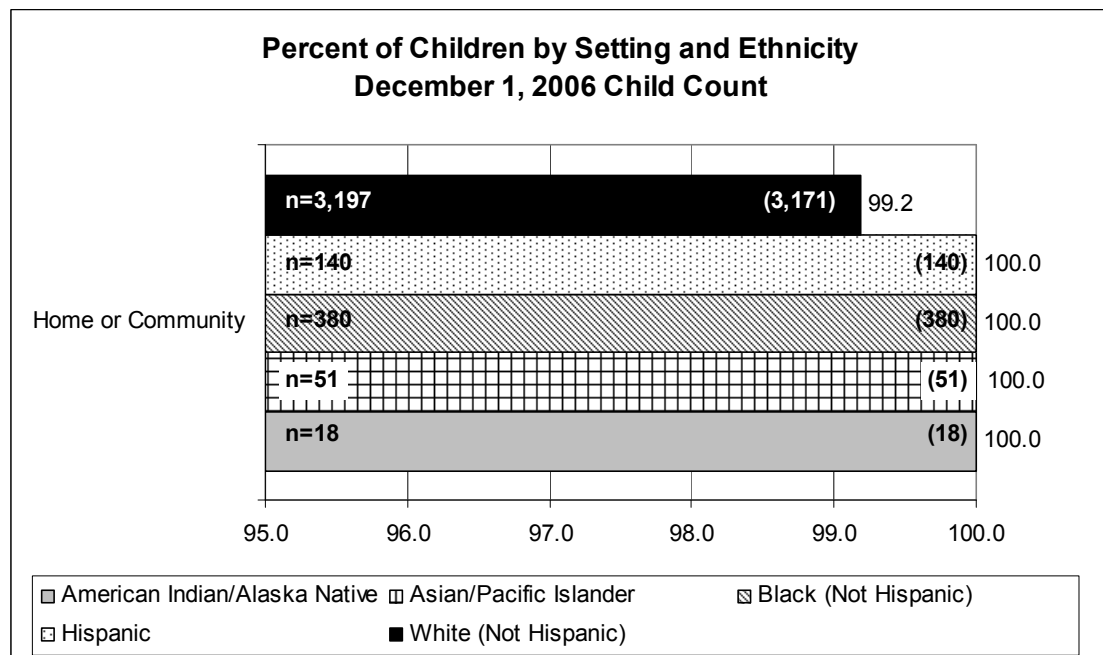


Figure 2

Figure 2 shows the Section 618 data by ethnicity. The lowest percentage receiving services primarily in the home or program with typically developing children is for White (Not Hispanic), at 99.2%. This is the largest population group in Kentucky and is still above the 2010 targets for the state as a whole.

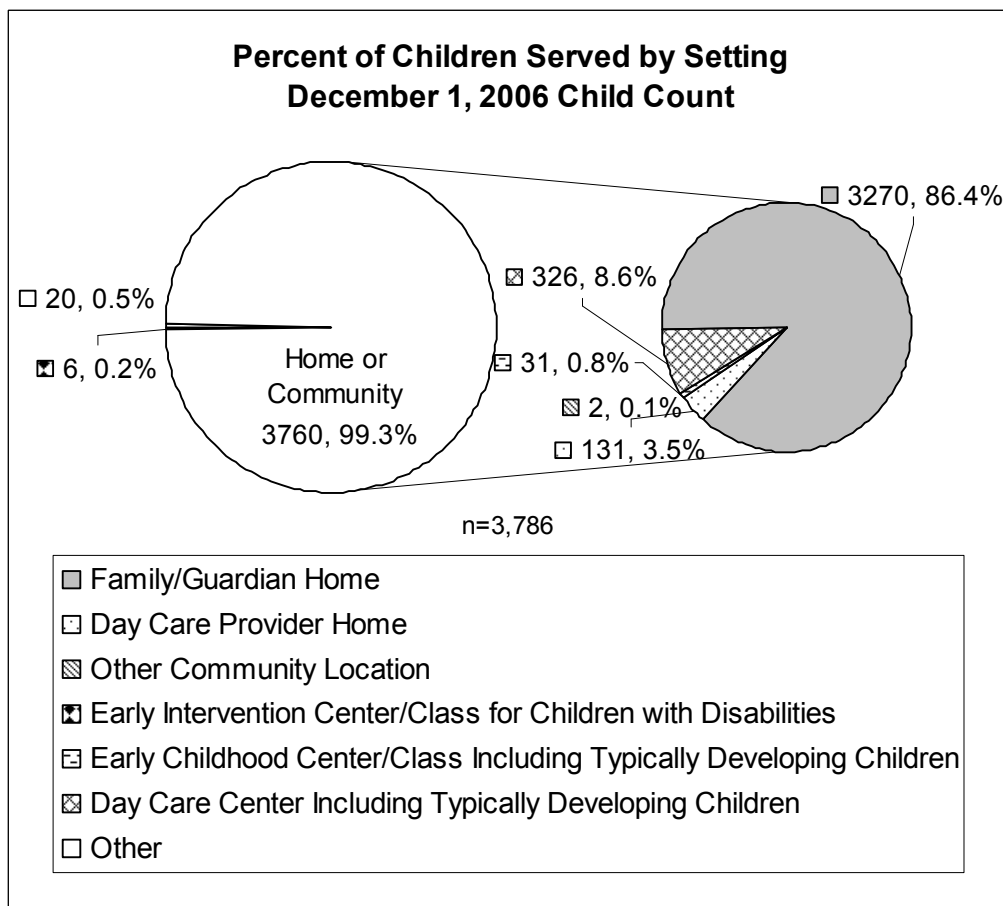


Figure 3

Of the 99.3% of children who were served in the home or program for typically developing children, 86.4% were served for a majority of services in the family or caregiver home (figure 3). The remaining 12.9% were served in locations with typically developing children (day care centers, community centers, early childhood centers including typically developing centers, etc.).

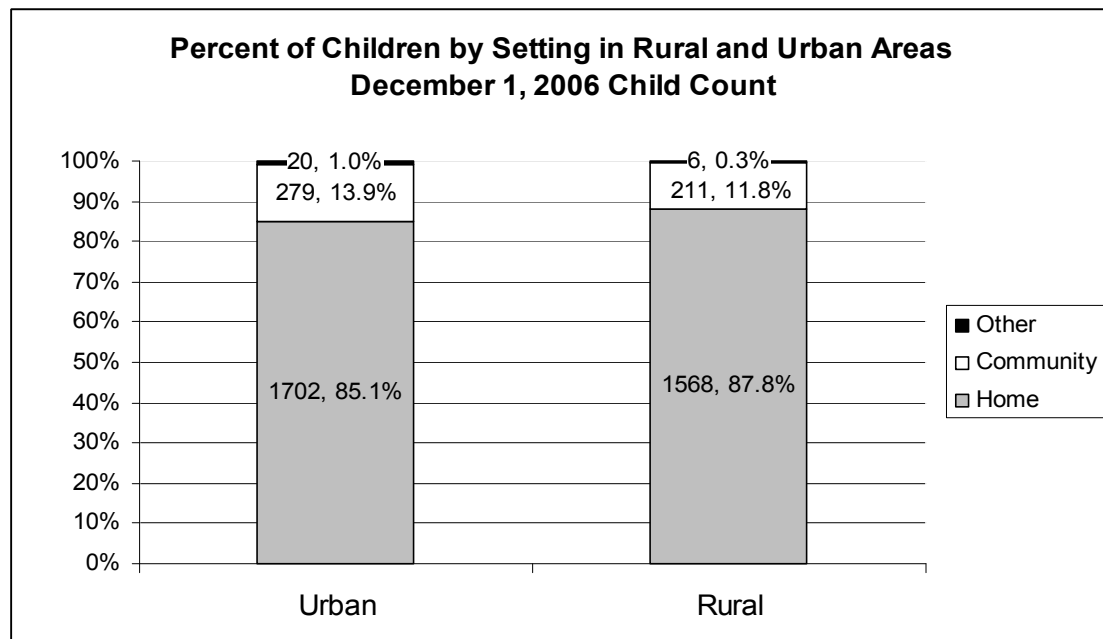


Figure 4

Figure 4 data indicate families in urban areas received 85.1% of services in the home while 14.9% received services in the community or other setting. Families in rural areas received 87.8% of services in the home and 12.1% of services in the community or other setting.

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2006:

IMPROVEMENT ACTIVITY	TIMELINE	STATUS
1. Revise the data system to capture all nine (9) settings categories.	April 2006	This activity is complete.
2. Provide training to the Technical Assistance Teams on the nine (9) settings categories.	May 2006	This activity is complete.
3. Revise the six-month progress report requirements for therapeutic interventions to include data on the settings of all services delivered in that six months.	May 2006	This activity is complete.
4. Train all providers on the nine (9) settings categories, the revised six-month progress report requirements and the revised data form to capture settings data.	June 2006 – August 2006	This activity is complete.

APR Template – Part C (4)

KENTUCKY
State

IMPROVEMENT ACTIVITY	TIMELINE	STATUS
5. Revise monitoring document and embedded reporting to capture new information.	July 2007- June 2008	This activity is ongoing. The General Supervision Workgroup reconvened in the Fall of 2007 and continues to work on revising Kentucky's monitoring process.
6. Develop training on natural environments to include coaching parents and use of Kentucky's Early Childhood Standards.	July 2007-June 2008	Statewide training was conducted during the Summer, 2007 with additional training and support activities planned for Spring, 2008. This activity is ongoing.
7. Implement, evaluate and modify, as necessary new monitoring procedures	July 2007-June 2011	This activity is ongoing.

Discussion of Progress:

Kentucky continues to exceed the performance targets set by the state. The FFY 2005 APR stated, "As we have exceeded all targets previously set, Kentucky now desires to embrace the evidence based literature which says natural environments includes the home, other community based settings in which children without disabilities participate, and are BOTH the places and opportunities where children experience everyday, typically occurring learning opportunities that enhance their growth and development. Natural environments are intended to allow parents to identify moments in their everyday lives in which to teach their child and ensure that learning and development occur within those daily routines and interactions."

Between May and August 2007, Lee Ann Jung Ph.D. led ten trainings throughout the state to support use of the consultative model of service delivery and routines based interviewing. Kentucky is currently in the process of developing a second round of supplemental training as well as technology-based support activities (webcasts, etc.) that will focus on putting theory into practice – impacting intervention.

Revisions, with Justification, to Proposed Targets/Improvement Activities/Timelines/ Resources for FFY 2006 (if applicable):

No revisions to proposed targets/improvement activities/timelines/ resources are being made.

Part C State Performance Plan (SPP) for 2005-2010

Overview of the State Performance Plan Development: see *Overview of Kentucky's State Performance Plan Development Process*.

Monitoring Priority: EARLY INTERVENTION SERVICES IN NATURAL ENVIRONMENTS

Indicator 3: Percent of infants and toddlers with IFSPs who demonstrate improved: A. Positive social-emotional skills (including social relationships); B. Acquisition and use of knowledge and skills (including early language/communication); and C. Use of appropriate behaviors to meet their needs. (20 USC 1416(a)(3)(A) and 1442)

Measurement:

A. Positive Social-emotional skills (including social relationships):

- a. Percent of infants and toddlers who reach or maintain functioning at a level comparable to same-aged peers = # of infants and toddlers who reach or maintain functioning at a level comparable to same-aged peers divided by # of infants and toddlers with IFSPs assessed times 100.
 - b. Percent of infants and toddlers who improve functioning = # of infants and toddlers who of infants and toddlers who improved functioning divided by # of infants and toddlers with IFSPs assessed times 100.
 - c. Percent of infants and toddlers who did not improve functioning = # of infants and toddlers who did not improve functioning divided by # of infants and toddlers with IFSPs assessed times 100.
- If children meet the criteria for a, report them in a. Do not include children reported in a in b or c. If a + b + c does not sum to 100% explain the difference.

B. Acquisition and use of knowledge and skills (including early language/communication):

- a. Percent of infants and toddlers who reach or maintain functioning at a level comparable to same-aged peers = # of infants and toddlers who reach or maintain functioning at a level comparable to same-aged peers divided by # of infants and toddlers with IFSPs assessed times 100.
 - b. Percent of infants and toddlers who improve functioning = # of infants and toddlers who improved functioning divided by # of infants and toddlers with IFSPs assessed times 100.
 - c. Percent of infants and toddlers who did not improve functioning = # of infants and toddlers who did not improve functioning divided by # of infants and toddlers with IFSPs assessed times 100.
- If children meet the criteria for a, report them in a. Do not include children reported in a in b or c. If a + b + c does not sum to 100% explain the difference.

C. Use of appropriate behaviors to meet their needs:

- a. Percent of infants and toddlers who reach or maintain functioning at a level comparable to same-aged peers = # of infants and toddlers who reach or maintain functioning at a level comparable to same-aged peers divided by # of infants and toddlers with IFSPs assessed times 100.
 - b. Percent of infants and toddlers who improve functioning = # of infants and toddlers who improved functioning divided by # of infants and toddlers with IFSPs assessed times 100.
 - c. Percent of infants and toddlers who did not improve functioning = # of infants and toddlers who did not improve functioning divided by # of infants and toddlers with IFSPs assessed times 100.
- If children meet the criteria for a, report them in a. Do not include children reported in a in b or c. If a + b + c does not sum to 100% explain the difference.

SPP Template – Part C (3)

KENTUCKY
State

Overview of Issue/Description of System or Process:

Response to Kentucky Part C FFY 2005 SPP/APR Response Table:

The *Kentucky Part C FFY 2005 SPP/APR Response Table* listed the status of Indicator 3 as “Entry data not provided”. Kentucky’s FFY 2005 SPP/APR did provide Entry data that Kentucky continues to feel was accurate and reliable and met the reporting requirements as they were put forth to the State. **Please review Figure 1 on Page 2 of Indicator 3 in Kentucky’s FFY 2005 APR.**

Background and Description of New Approach:

As was indicated in Kentucky’s FFY 2005 APR, Kentucky would have been able to reliably report progress according to the original reporting categories, but became unable to do so when the reporting categories changed in September, 2006. In response to OSEP guidance and in consultation with staff from the National Early Childhood Outcomes Center, the state adopted a new approach to child outcome measurement for 2006 – 2007. This new approach is based on best practice for continuous assessment and progress monitoring of all children aged birth to five years as defined by the *KY Early Childhood Standards* (2002) and *Continuous Assessment Guide* (2004). Kentucky is *not* using the Early Childhood Outcome Center’s (ECO) Child Outcomes Summary Form (COSF).

Data Collection:

The Part C program utilized two stakeholder groups to select appropriate assessment instruments for use in reporting child progress. Knowing that data collection could not wait, providers were asked to submit protocols for all assessments completed on or after July 1, 2006. These protocols were collected by the Point of Entry (POE) offices and initial submissions were used to assist the stakeholder groups in identifying assessment instruments currently in use.

Four assessment instruments were selected to monitor children’s progress for 2006 – 2007. The instruments Kentucky selected are the *Assessment, Evaluation and Programming System for Infants and Children Second Edition (AEPS)*; Bricker et al. 2002) for children aged birth to three years, the *Carolina Curriculum for Infants and Toddlers (CCITSN)*; Johnson-Martin et al., 2004), the *Early Learning Accomplishment Profile (E-LAP)*; Sanford et al., 2004), and the *Hawaii Early Learning Profile (HELP)*; Parks, 2006) for children aged birth to three years. These instruments were selected based on their use in the field, their technical adequacy, use of functional goals and multiple domains, utility for diverse populations, opportunities for the use of multiple modalities for collecting data, involvement of families, and ease of administration. For the 2007 – 2008 year, Kentucky limited the approved instruments to the *AEPS*, *CCITSN* and *HELP*. Statewide training on these assessment instruments began in June, 2007 and continues through Spring, 2008.

Data Platform Development:

To support consistent data collection procedures across the state, the Kentucky Early Childhood Data (www.kedsonline.org) system was developed through the University of Kentucky. This data platform allows for the collection of item specific data across the approved assessment tools, as well as the ability to match the assessment data to child demographic data imported from the state data system. The KEDS system is being used by both Part C and Part B, 619. Data analyses for Kentucky’s children were based on two levels of detailed crosswalks conducted by publishers and early childhood experts within the state. First, each approved assessment instrument was crosswalked to KY benchmarks and standards by the publisher for each tool and by KY early childhood workgroups (including a representative variety of stakeholders). Subsequently, each crosswalk was reviewed in detail by an expert panel (including representatives from Part B, Part C, and KEDS) to assure its alignment with KY benchmarks and standards. In addition to mapping individual items to benchmarks and OSEP outcomes, items were age-anchored by a state expert panel, in a manner similar to the age-anchoring done by the National Early Childhood Outcomes Center, by utilizing each instrument’s age intervals (if available), other approved instrument age levels for similar items, and Cohen and Gross’s recommended behavioral sequences

SPP Template – Part C (3)

KENTUCKY
State

(Cohen and Gross, 1979). Item assignment to each benchmark was also investigated using extant literature on child development and developmental biology as well as expert opinion. Following these procedures, items were assigned to a three (3) month age band to determine “age-appropriate functioning.” A second level crosswalk was then completed to link KY benchmarks and standards to the three OSEP child outcomes. The second level crosswalk was used to identify, by instrument, specific assessment items which were correlated to each benchmark and standard, to allow for analyses of child progress on the OSEP outcomes. These items comprised the data platform for our analyses of child progress. The following is an example of some of the items included for OSEP outcome 1.

Sample Level 2 crosswalk; OSEP outcome to KY standard/benchmark to Assessment Items

OSEP Outcome	KY Standard and Benchmark	Age Intervals	CCITSN	HELP	E-LAP	AEPS
Positive social relationships:	Social Emotional: 1.1: Shows attachments and emotional connection towards others.	0-3 months	1 b; 2c	1.01, 5.01, 5.02, 5.04, 5.05	COG 2, 3, 4, 5; L 3, 7; SE 1, 3, 4, 6, 7	SOC A1.3; S-C A1; S-C A1.1
		4-6 months	2 f	1.02, 1.18, 5.07, 5.10, 5.11	COG 15, 23, 26; SE 10, 12, 13	SOC A1.2
		7-9 months	14 m	5.17, 5.20, 5.21, 5.22	None	SOC A1.1
		10-12 months	1 f	5.25, 5.31, 5.36,	SE 21 L21	None

Description of Data Set:

Kentucky understands that the data set is small. Many of the protocols received from providers and collected by the POE offices were from non-approved, discipline-specific instruments and could not be used for child progress monitoring. Prior to the implementation of the new approach, many providers utilized the approved instruments informally and for limited domain areas. Many of the protocols received were unusable for one of the following reasons: insufficient child identifying information, incomplete data on protocols, missing dates for assessment periods. Further, providers were asked to submit assessment protocols from July 1, 2007 forward. This means that Kentucky was working with essentially one year of data, rather than a multi-year pool of data. The establishment of policies regarding the use of approved assessment instruments, training on the approved assessment instruments and added months/years of completed assessments should substantially increase this data set over time.

Protocols from the approved assessment instruments were entered into the Kentucky Early Childhood Data System (KEDS). Assessment data for enrolled children was included in data analyses based on the following criteria: (a) the assessment instrument was one of the approved tools for progress monitoring (n = 933), (b) at least two points of data were available for the child (n = 356), and (c) adequate child identifying information (identification number, date of birth, date of assessments) was available so that the child could be linked with the assessment protocol (n = 179).

SPP Template – Part C (3)

KENTUCKY
State

Data Stability:

As indicated, the data set for the 2006-2007 reporting year was low. Because of the low numbers of usable data, percentile scores were used to represent the available data accurately.

Baseline Progress Data for FFY 2006 (2006-2007):

Baseline and targets will be provided with the FFY 2010 APR due February 1, 2010.

Table 1a. Data for EXITING children with progress data for 2006-2007: Outcome 1

A. Positive social-emotional skills (including social relationships):	Number of children	% of children
a. Percent of infants and toddlers who did not improve functioning	17	47%
b. Percent of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	16	45%
c. Percent of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach	3	8%
d. Percent of infants and toddlers who improved functioning to reach a level comparable to same-aged peers		
e. Percent of infants and toddlers who maintained functioning at a level comparable to same-aged peers		
Total	N=36	100%

Table 1b. Data for EXITING children with progress data for 2006-2007: Outcome 2

B. Acquisition and use of knowledge and skills (including early language/communication and early literacy):	Number of children	% of children
a. Percent of infants and toddlers who did not improve functioning	24 18	31% 26%
b. Percent of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	54 50	68% 74%
c. Percent of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach	4	1%
d. Percent of infants and toddlers who improved functioning to reach a level comparable to same-aged peers		
e. Percent of infants and toddlers who maintained functioning at a level comparable to same-aged peers		
Total	N= 77 68	100%

Table 1c. Data for EXITING children with progress data for 2006-2007: Outcome 3

C. Use of appropriate behaviors to meet their needs	Number of children	% of children
a. percent of infants and toddlers who did not improve functioning	40 39	56% 57%
b. Percent of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	29 29	41% 43%
c. Percent of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach	2	3%
d. Percent of infants and toddlers who improved functioning to reach a level comparable to same-aged peers		
e. Percent of infants and toddlers who maintained functioning at a level comparable to same-aged peers		
Total	N= 74 68	100%

SPP Template – Part C (3)

KENTUCKY
State

Discussion of Baseline Progress Data:

Baseline and targets will be provided with the FFY 2010 APR due February 1, 2010.

Data Analyses:

Based on the first level crosswalk procedure, each child's scores on individual items were analyzed to determine age-appropriate functioning. Percentages for the number of items on which the child scored at age level were computed based on cumulative scores over time. Using a common metric (percentages), a difference score was computed between each data point for each child. Percentile analysis was utilized to determine child inclusion for each reporting categories.

Data analyses for the 5 levels of functioning were determined as follows:

- (a) *Infants and toddlers who did not improve functioning.* These were children who exhibited no change in item scores toward age functioning.
- (b) *Infants and toddlers who improved functioning but not sufficient to move nearer to same-aged peers.* These were children who exhibited any item gain and thus some improvement on their summed score and scored less than the 40 percentile compared to their same aged peers.
- (c) *Infants and toddlers who improved functioning to a level nearer to same-aged peers, but did not reach.* These were children who improved functioning and whose score at exit was greater than 40% of same age peers, but less than 80%.
- (d) *Infants and toddlers who improved functioning to reach a level comparable to same-aged peers.* These were children who improved functioning and reached age-appropriate functioning. Kentucky has defined "comparable to same-aged peers" as 80% of functioning level. This is consistent with the 1.3 standard deviations recommended by the Early Childhood Outcome Center.
- (e) *Infants and toddlers who maintained functioning at a level comparable to same-aged peers.* These were children who maintained scores at or above the 80% based on age anchoring within the crosswalk document.

Data analyses were conducted for each of the 4 approved assessment tools. All children's scores were matched across data points and cumulative scores created at each point based on the crosswalk age anchoring. Analyses were conducted for all children from the above data set who were exiting EI. ~~An exiting child was defined as a child who would turn three years before June 30, 2007.~~ Exit data was obtained on all children within 15.5 weeks of program discharge. Tables 1a, 1b, and 1c illustrate the results.

Quality Assurance:

Several procedures have been implemented to ensure the accuracy and completeness of assessment data. Data entry on KEDS online utilizes drop-down boxes with limited options as defined by each assessment, to reduce the possibility for erroneous entries (ex: only 0, 1, or 2 responses for AEPS items). Data for the 2006-2007 year were entered directly by KEDS staff at the University of Kentucky to ease the transition to the new approach. Reliability for data entry was above 98%. Data was cleaned and analyzed by the Research Coordinator for KEDS. Procedures to ensure quality monitoring of data accuracy and completeness for POE staff include the training of all data entry staff (including providers) and a review of randomly selected protocols.

Current Status of Child Outcome/Progress Monitoring System:

Policies and procedures related to the administration of the initial criterion referenced assessment for children with established risk conditions were finalized in August, 2007. Policies and procedures related to the administration of the initial criterion referenced assessment for children without established risk conditions and policies and procedures related to the administration of annual and exit criterion referenced assessments for all children are in final draft and are expected to be effective in February, 2008.

SPP Template – Part C (3)KENTUCKY
State

FFY	Measurable and Rigorous Target
2007 (2007-2008)	To be determined
2008 (2008-2009)	To be determined
2009 (2009-2010)	To be determined
2010 (2010-2011)	To be determined

Improvement Activities/Timelines/Resources:

IMPROVEMENT ACTIVITY	TIMELINE	RESOURCES
1. Select approved criterion referenced assessment instruments	Spring, 2007	State Interagency Coordinating Council Kentucky Early Childhood Data System (KEDS) Development Team Central Office Staff Status: Complete
2. Develop and conduct statewide training on the approved criterion referenced assessment instruments.	June, 2007 – June, 2008	Central Office Staff KEDS Development Team Status: Ongoing
3. Develop and disseminate policies and procedures related to the administration and data entry of the criterion referenced assessment.	Winter, 2007/2008	Central Office Staff State Interagency Coordinating Council Providers and other stakeholders

SPP Template – Part C (3)

KENTUCKY
State

IMPROVEMENT ACTIVITY	TIMELINE	RESOURCES
4. Monitor compliance with policies and procedures related to the administration and data entry of the criterion referenced assessment; review and respond to progress data and collaborate in the development of implementation activities to address performance, priorities and concerns.	December, 2007 – June, 2011	Central Office Staff State Interagency Coordinating Council KEDS Development Team

Discussion of Improvement Activities/Timelines/Resources:

In FFY07 Kentucky's data set is expected to increase based on more systematic training and usage of the approved assessment instruments and the online KEDS data system. Through training providers have become increasingly aware of the need for reliable data on child progress and have begun using the approved assessment instruments, despite a lack of formal policies and procedures requiring their use. Formal policies and procedures are expected to become effective in February, 2008, after which time all children will receive an approved assessment at entry, annually and at exit.

Part C State Annual Performance Report (APR) for FFY 2006

Overview of the Annual Performance Report Development: see *Overview of Kentucky's State Annual Performance Report Development Process*.

Monitoring Priority: Early Intervention Services in Natural Environments

Indicator 4: Percent of families participating in Part C who report that early intervention services have helped the family:

- A. Know their rights;
- B. Effectively communicate their children's needs; and
- C. Help their children develop and learn.

(20 U.S.C. 1416(a)(3)(A) and 1442)

Data Source:

State selected data source. State must clarify the data source in the State Performance Plan.

Measurement:

- A. Percent = [(# of respondent families participating in Part C who report that early intervention services have helped the family know their rights) divided by the (# of respondent families participating in Part C)] times 100.
- B. Percent = [(# of respondent families participating in Part C who report that early intervention services have helped the family effectively communicate their children's needs) divided by the (# of respondent families participating in Part C)] times 100.
- C. Percent = [(# of respondent families participating in Part C who report that early intervention services have helped the family help their children develop and learn) divided by the (# of respondent families participating in Part C)] times 100.

	Measurable and Rigorous Target
2006 (2006-2007)	A. 82.2% B. 73.3% C. 89.1%
2007 (2007-2008)	A. 83.2% B. 74.3% C. 89.6%
2008 (2008-2009)	A. 84.2% B. 75.3% C. 90.1%

APR Template – Part C (4)

KENTUCKY
State

2009 (2009-2010)	A. 85.2% B. 76.3% C. 90.6%
2010 (2010-2011)	A. 86.2% B. 77.3% C. 91.1%

Response to Kentucky Part C FFY 2005 SPP/APR Response Table

The *Kentucky Part C FFY 2005 SPP/APR Response Table* directed Kentucky to determine if the response rate to the family survey was representative of the population served and provide an explanation in the FFY 2006 APR. Kentucky does not believe the response rate to the SFY 2006 family survey was representative of the population served, but does feel that it was not far off.

Data presented in the February, 2007 APR were for all returned surveys. However, at the 2007 Overlapping Part B/Part C Data Manager's Meeting, it became apparent that since 100% of surveys were not returned, Kentucky should have randomly selected within ethnic groups so that the return rate was comparable to the known ethnic diversity of Part C in Kentucky. This has been done as a correction and is presented here. Table 1 shows the ethnic grouping of Part C in Kentucky as reported in the December 1, 2005 child count revised in November, 2006, along with the necessary surveys from each group.

Ethnic Group	Child Count	Percent of Total	Total Surveys Returned	Total Needed for Comparable Sample
All Children	3554	100.0%	786	299
American Indian/Alaska Native	12	0.338%	1	1
Asian/Pacific Islander	69	1.941%	19	6
Black/African-American	345	9.707%	29	29
Hispanic/Latino	133	3.742%	14	11
White	2995	84.271%	723	252

Table 1

The number of surveys included for the various ethnic groups was determined by looking at the number obtained by ethnic group. A small number of Black/African-American surveys was returned. By using all of them, a total sample could be created of 299 surveys. That is, by knowing that the known Black/African-American rate should be 9.707%, dividing 29 by .09707 resulted in a total n of 299. Using that total n and the known percentages of each of the other ethnic groups, it was determined that we should use the 1 American Indian/Alaska native survey received, 6 Asian/Pacific Islander surveys, 11 Hispanic/Latino surveys, and 252 White surveys. Surveys were randomly selected from the total received for each group by computer. Revised Rasch analysis results are reported in Table 2 for the Dec 1, 2005 child count.

NCSEAM Report for SPP/APR Indicator #4 Data Collected in 2005-06	
A. Percent of families participating in Part C who report that early intervention services have helped the family know their rights.	84.6% (253/299)
<i>Standard: A .95 likelihood of a response of "strongly agree" or "very strongly agree" with the item, "Over the past year, early intervention services helped me and/or my family know about my child's and family's rights concerning early intervention services."</i>	

APR Template – Part C (4)

KENTUCKY
State

<p>B. Percent of families participating in Part C who report that early intervention services have helped the family effectively communicate their children's needs.</p> <p><i>Standard: A .95 likelihood of a response of "strongly agree" or "very strongly agree" with the item, "Over the past year, early intervention services helped me and/or my communicate more effectively with people who work with my child and my family."</i></p>	<p>79.9% (239/299)</p>
<p>C. Percent of families participating in Part C who report that early intervention services have helped the family help their child develop and learn.</p> <p><i>Standard: A .95 likelihood of a response of "strongly agree" or "very strongly agree" with the item, "Over the past year, early intervention services helped me and/or my family understand my child's special needs"</i></p>	<p>91.0% (272/299)</p>
<p>Measurement Reliability: .95 N of Valid Responses: 299 Statistics: M = 664, SD = 122, 95% CI = 603-725</p>	

Table 2

Actual Target Data for FFY 2006 :

Use of the National Council for Special Education Accountability and Monitoring (NCSEAM) family survey was adopted during the Fall of 2005 process to create the State Performance Plan for Kentucky in order to fulfill the new requirements to provide data for Indicator 4. The first survey was conducted in early June, 2006 and the data presented in the February, 2007 APR. The survey for the current APR was conducted in June, 2007. A copy of the survey is included in this report (Attachment A).

In February, the December 1, 2006 child count was submitted to OSEP. It reported 3,786 children with IFSPs on December 1, 2006. A total of 3,786 surveys were mailed. This year, no second mailing was completed because of cost. A total of 624 surveys were returned, for a response rate of 16.5%. Analysis was done using a random portion of the 624 completed surveys (including the 11 Spanish surveys returned) based on the known ethnic breakdown of Part C children in Kentucky (see table 3).

Ethnic Group	Child Count	Percent of Total	Total Surveys Returned	Total Needed for Comparable Sample
All Children	3786	100.0%	624	249
American Indian/Alaska Native	22	0.58%	1	1
Asian/Pacific Islander	57	1.506%	11	4
Black/African-American	380	10.037%	54	25
Hispanic/Latino	164	4.332%	22	11
White	3163	83.545%	536	208

Table 3

The number of surveys included for the various ethnic groups was determined by looking at the number obtained by ethnic group. Only 1 American-Indian/Alaska Native survey was returned. The largest sample possible using that survey was 249 to still yield a rate for that ethnic group of 0.58% (due to rounding, a recommended sample of 1.444 surveys would still yield a survey of 1, therefore 1.444 divided by .0058 results in a sample size of 249). Using that total n and the known percentages of each of the other ethnic groups, it was determined that we should use 4 Asian/Pacific Islander surveys, 25 Black/African-American surveys, 11 Hispanic/Latino surveys, and 208 White surveys. Surveys were randomly selected from the total received for each group by computer.

APR Template – Part C (4)

KENTUCKY
State

NCSEAM's survey consists of two Rasch scales. A Rasch scale is one in which several items are used which ask the respondent to indicate their level of agreement along a scale of very strongly disagree, strongly disagree, disagree, agree, strongly agree, or very strongly agree. Each item has been pretested by NCSEAM and is calibrated along a continuum such that some items are harder or easier than others to agree to. Testing has shown that agreement with an item at the top of the scale is likely to mean that the respondent also agreed with all the items below it. Items are asked in no particular order, but the calibration order is known, based on NCSEAM's pretesting. By using a standardized scale from a pretested item bank, our state scores can be compared with others using the scale. It also means that measures can be predicted. It is these predicted measures that are used in reporting the data for indicator 4.

The first step in presenting the data is to look at the scale in order of decreasing hardness of agreement to the items. In figure 1, each item in the Impact on the Family scale is presented in decreasing order of hardness, such that the bottom item, "do things with and for my child that are good for my child's development" was the most likely to be agreed with (the easiest) while the top item, "participate in typical activities for children and families in my community" was the least likely to be agreed with (the hardest). Kentucky's mean measure of 659 can be directly compared to the item calibrations to see where Kentucky "fits" regarding impact on the family. A mean of 659 is just above the item "know about services in the community" which indicates that in Kentucky, around half of all respondents at least agree with that item and all those below it. There is only one item above the mean, "Participate in typical activities for children and families in my community," which is an area that Kentucky will target to increase family impact.

NCSEAM Part C Impact of Early Intervention on Your Family Scale

4B

4A

4C

Item Calibration	Item
678	Participate in typical activities for children and families in my community.
656	Know about services in the community.
640	Know where to go for support to meet my family's needs.
625	Keep up friendships for my child and family.
609	Know where to go for support to meet my child's needs.
584	Be more effective in managing my child's behavior.
576	Make changes in family routines that will benefit my child with special needs.
576	Do activities that are good for my child even in times of stress.
570	Improve my family's quality of life.
565	Feel that I can get the services and supports that my child and family need.
563	Get the services that my child and family need.
562	Feel that my family will be accepted and welcomed in the community
559	Feel more confident in my skills as a parent.
559	Feel that my child will be accepted and welcomed in the community.
556	Communicate more effectively with the people who work with my child and family.
553	Understand how the Early Intervention system works.
546	Understand the roles of the people who work with my child and family.
539	Know about my child's and family's rights concerning Early Intervention services.
534	Be able to evaluate how much progress my child is making.
516	Understand my child's special needs.
498	Feel that my efforts are helping my child.
498	Do things with and for my child that are good for my child's development.

Figure 1

In order to answer the three indicator 4 categories, it was necessary to establish a standard to apply to the Rasch analysis to determine what the minimum item would be acceptable by the stakeholders to indicate success in the category. NCSEAM had already conducted stakeholder meetings in the national sample and made recommended standards. A standard is not about agreement with the individual item. Rather, because of the consistency of the pattern of responses to items in the scale, agreement with the threshold item indicates agreement to all those below it as well. NCSEAM's recommended standards are shown by the lines drawn in figure 1. In other words, to know the percent of families participating in Part C who report that early intervention services have helped the family know their rights (4A), we find in the Rasch analysis the percent of responses that are predicted by the model at item scores of 539 and lower.

NCSEAM Report for SPP/APR Indicator #4(a)
Data Collected in 2006-07

Percent of families participating in Part C who report that early intervention services have helped the family know their rights.

85.5% (213/249)

Standard: A .95 likelihood of a response of “strongly agree” or “very strongly agree” with the item, “Over the past year, early intervention services helped me and/or my family know about my child’s and family’s rights concerning early intervention services.”

Measurement Reliability: .95

N of Valid Responses: 249

Statistics: M = 659, SD = 116, 95% CI = 601-717

NCSEAM Report for SPP/APR Indicator #4(b)
Data Collected in 2006-07

Percent of families participating in Part C who report that early intervention services have helped the family effectively communicate their children’s needs.

81.1% (202/249)

Standard: A .95 likelihood of a response of “strongly agree” or “very strongly agree” with the item, “Over the past year, early intervention services helped me and/or my family communicate more effectively with people who work with my child and my family.”

Measurement Reliability: .95

N of Valid Responses: 249

Statistics: M = 659, SD = 116, 95% CI = 601-717

APR Template – Part C (4)

KENTUCKY
State

NCSEAM Report for SPP/APR Indicator #4(c) Data Collected in 2006-07

Percent of families participating in Part C who report that early intervention services have helped the family help their child develop and learn.

92.0% (229/249)

Standard: A .95 likelihood of a response of “strongly agree” or “very strongly agree” with the item, “Over the past year, early intervention services helped me and/or my family understand my child’s special needs”

Measurement Reliability: .95

N of Valid Responses: 249

Statistics: M = 659, SD = 116, 95% CI = 601-717

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2006:

IMPROVEMENT ACTIVITY	TIMELINE	STATUS
1. Family Orientation to First Steps DVD kit	Spring 2007 Spring 2008	Family Orientation Kits are still in the development phase. The DVD is in draft and final production is projected for Spring 2008. (Timeline extended – see below)
2. Develop training and implementation process for “Building a Strong Foundation for School Success: The Kentucky Early Childhood Standards Parent Guide for Children Birth to Three” for TA teams to better assist providers in its use.	July 2007 – June 2008	This is an ongoing activity.
Activity 3: Explore production and dissemination of the Step by Step guide to Transition and the DVD.	July 2007 – June 2008	5000 copies of the Step by Step guide were reproduced and delivered to the First Steps technical assistance teams to distribute to Points of Entry (POE) and providers. The DVD continues to be a priority.

APR Template – Part C (4)

KENTUCKY
State

IMPROVEMENT ACTIVITY	TIMELINE	STATUS
4. Explore using CBIS to send a letter reminding families that the Part C to Part B transition process should have begun and provide information to access the Step by Step guide to Transition in order to help families know their rights, effectively communicate their children's needs and to help their children develop and learn.	January 2008	Completed. A workgroup consisting of First Steps Technical Assistance Team Parent Consultants, CBIS, And KECTP have developed a letter for families that will be ready for distribution in January 2008.
5. Add a page to the CBIS website for families to access information regarding rights, support, and information on early intervention and resources.	July 2007 – June 2008	Completed. Family links are included on the CBIS website They provide transition and family rights information.
6. Monitor the implementation of Improvement Activities and future family satisfaction survey findings on an ongoing basis and adjust Improvement Activities accordingly.	July 2007 – June 2011	This is an ongoing activity.

Discussion of Progress:

Kentucky increased slightly on each of the three parts of indicator 4 from 2005-06 to 2006-07. The areas that Kentucky can strengthen to impact the lives of families is to help families know about and participate in services and activities provided in their communities. Additionally, Kentucky needs to explore ways to increase the number of family surveys that are returned each year. Next year, plans are to mail the survey to families and also to offer a web survey option rather than filling out the paper survey and returning it. The web survey has already been completed. Rather than the expense of a follow-up mailed survey, a post-card will be sent reminding parents of the web survey link.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for 2006:

IMPROVEMENT ACTIVITY	TIMELINE	RESOURCES
1. Family Orientation to First Steps DVD kit	Spring 2007 Spring 2008	Resources: Technical Assistance Teams and First Steps Training Coordinator. Justification: Work on this activity has been ongoing, but has taken longer than anticipated. Accordingly, the timeline has been extended.

APR Template – Part C (4)

KENTUCKY
State

IMPROVEMENT ACTIVITY	TIMELINE	RESOURCES
7. Convene a stakeholder workgroup, including the Parent Consultant members of the Technical Assistance Teams, to explore strategies to enhance families' knowledge of and participation in community services and activities.	March 2008 – June 2009	<p>Resources: TAT Parent Consultants, SPP/APR Workgroup</p> <p>Justification: Upon reviewing the response data, Kentucky is interested in targeting efforts toward enhancing family knowledge of and participation in community services. It is believed that this will also serve to impact service provision in natural environments by expanding the numbers and types of community settings available to families.</p>
8. Convene a stakeholder workgroup, including the Parent Consultant members of the Technical Assistance Teams, to explore strategies to increase the return rate on the parent survey.	March 2008 – June 2009	<p>Resources: TAT Parent Consultants, SPP/APR Workgroup</p> <p>Justification: Kentucky is not satisfied with the response rate to the parent survey. Budget constraints made sending follow-up surveys impossible this year. There is a need to explore other strategies, including the web-based survey which has already been developed, that will improve the response rate.</p>

Part C State Annual Performance Report (APR) for FFY 2006

Overview of the Annual Performance Report Development: see *Overview of Kentucky's State Annual Performance Report Development Process*.

Monitoring Priority: Effective General Supervision Part C / Child Find

Indicator 5: Percent of infants and toddlers birth to 1 with IFSPs compared to:

A. Other States with similar eligibility definitions; and

B. National data.

(20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement:

A. Percent = [(# of infants and toddlers birth to 1 with IFSPs) divided by the (population of infants and toddlers birth to 1)] times 100 compared to the same percent calculated for other States with similar (narrow, moderate or broad) eligibility definitions.

B. Percent = [(# of infants and toddlers birth to 1 with IFSPs) divided by the (population of infants and toddlers birth to 1)] times 100 compared to National data.

FFY	Measurable and Rigorous Target
2005 (2005-2006)	. 51 % of infants and toddlers aged birth to 1 in Kentucky will have IFSPs.
2006 (2006-2007)	.56 % of infants and toddlers aged birth to 1 in Kentucky will have IFSPs.
2007 (2007-2008)	.66 % of infants and toddlers aged birth to 1 in Kentucky will have IFSPs.
2008 (2008-2009)	.76 % of infants and toddlers aged birth to 1 in Kentucky will have IFSPs.
2009 (2009-2010)	.86 % of infants and toddlers aged birth to 1 in Kentucky will have IFSPs.
2010 (2010-2011)	.96 % of infants and toddlers aged birth to 1 in Kentucky will have IFSPs.
2011 (2011-2012)	.965 % of infants and toddlers aged birth to 1 in Kentucky will have IFSPs.

Actual Target Data for FFY 2006:

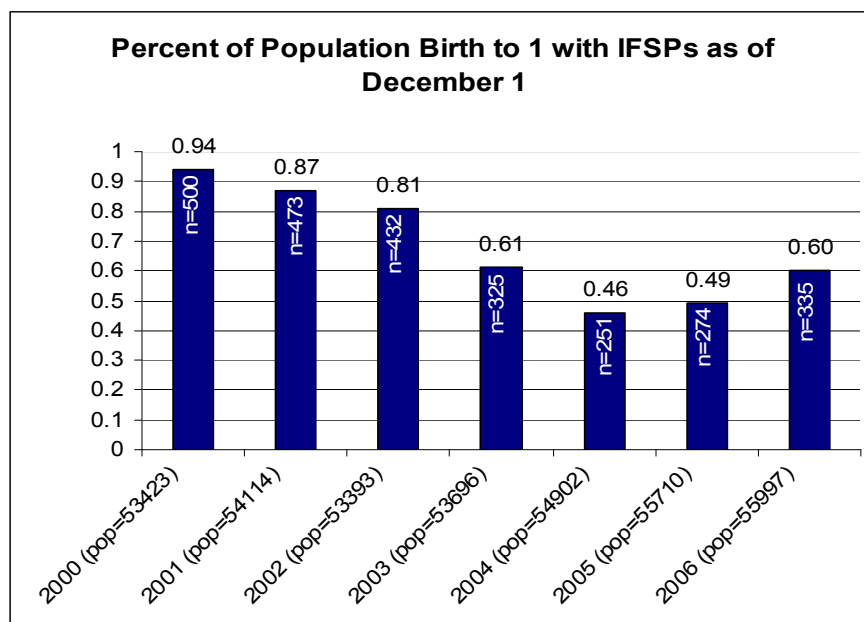


Figure 1

From 2000 through 2004 Kentucky's Birth to 1 Participation rate had declined steadily. Kentucky believes that program changes in 2003 and 2004, effected to reduce barriers to identification of children under age one, aided in the Birth to 1 Participation Rate increase seen in Figure 1. Since 2004, Kentucky's Birth to 1 Participation Rate has increased from 0.46% in 2004 to 0.49% in 2005 to 0.60% in 2006, exceeding the target for FFY 2006 of 0.56% set by the state.

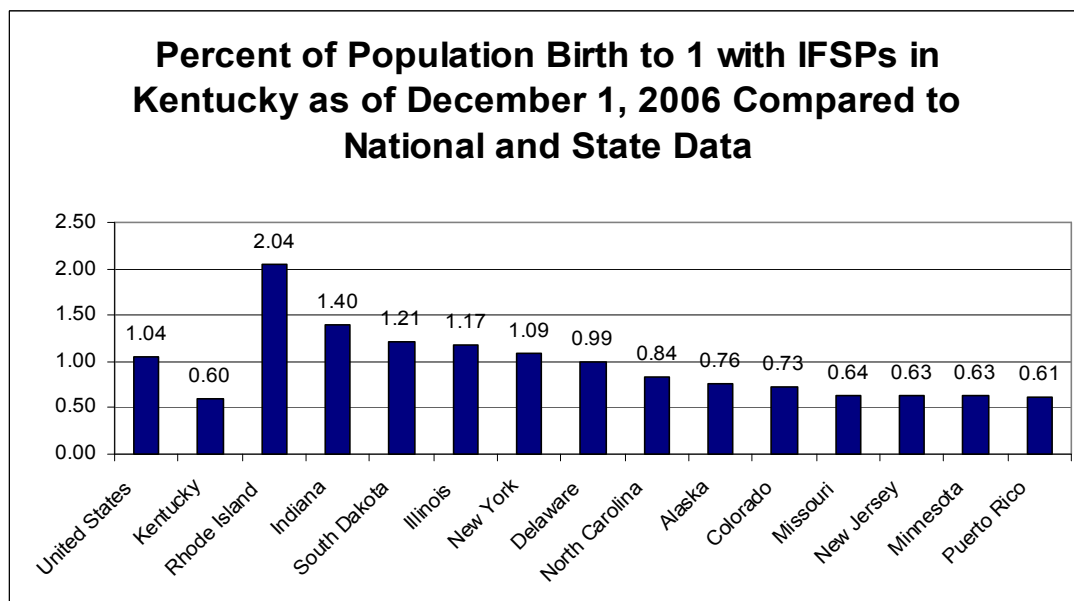


Figure 2

Kentucky is pleased that the 2006 Birth to 1 Participation Rate exceeded the state target of 0.56%. Kentucky will continue to strive to improve the Birth to 1 Participation Rate and close the gap between it and other states with comparable eligibility criteria

APR Template – Part C (4)

KENTUCKY
State

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2006:

IMPROVEMENT ACTIVITY	TIMELINE	STATUS
1. Revise and renew the memorandum of agreement with Head Start/Early Head Start which addresses mutual referral policies.	December 2005 Spring 2008	Despite the passage of a year, the MOA with Head Start/Early Head Start is not finalized. First Steps Central Office will revisit this in Spring, 2008. (Timeline extended – see below)
2. Meet with Neonatal Follow-up programs and discuss strategies to increase referrals from those programs.	January 2006	Completed. Meetings between Central Office Administration and the Neonatal Follow-up program administrators occurred and continue. Training was provided in 2006 targeting services to medically fragile premature infants.
3. Train Point of Entry Staff on the importance of early identification and enrollment in First Steps and identify strategies to improve identification Birth – 1 for each individual Point of Entry site.	February 2006	Completed. Met with POE staff in January, 2006 to discuss program participation rates and performance contracting for FY08.
4. Target child find visits to educate Kentucky Pediatricians about the eligibility requirements for First Steps and the referral process.	July 2006 – June 2007	Completed. While this particular improvement activity is complete, Kentucky recognizes the need to continue to collaborate with pediatricians and other pediatric sub-specialists on an ongoing basis to assure continued identification of infants and toddlers with disabilities or developmental delays.
5. Develop a communication & referral process for newborns identified by the Expanded Newborn Metabolic Screening Program and the Kentucky Birth Surveillance Registry (KBSR) in Kentucky.	July 2006 – June 2007 June 2009	Ongoing. A State System Development Initiative (SSDI) grant was awarded in December, 2007. This 5 year grant will support the development of an automated referral process for newborns identified by the Expanded Newborn Metabolic Screening Program and the KBSR. Work on this activity has been slower than anticipated, but is expected to hasten with the development of a new data system for the First Steps program. (Timeline extended – see below)

APR Template – Part C (4)

KENTUCKY
State

IMPROVEMENT ACTIVITY	TIMELINE	STATUS
6. Increase child find efforts in foster care settings.	July 2007 – June 2008	Ongoing. First Steps staff worked with representatives from the foster care system to develop a training for foster care workers on the appropriate and timely identification of infants and toddlers with disabilities or developmental delays. The training is being finalized and is anticipated to be implemented in Spring, 2008.
7. Increase child find efforts in Family Resource Centers and with Early Childhood Councils.	July 2007 – June 2008	Ongoing. First Steps Central Office has renewed its contract with the Kentucky Early Childhood Transition Project (KECTP) to assist in building collaborative relationships at the District level. Part of this work involves bringing Family Resource Centers and Early Childhood Councils, as well as other local partners, to the table to learn about First Steps and be better able to identify children who may be eligible for First Steps and serve children when they leave First Steps.
8. Improve the communication & referral process for newborns identified by the Kentucky Universal Newborn Hearing Screening Program (UNHS) in Kentucky.	July 2006 – June 2007	Completed. In follow-up to collaborative meetings between First Steps Central Office and the Commission for Children with Special Health Care Needs (CCSHCN), diagnostic audiologists and Early Hearing Detection and Intervention (EHDI) staff refer all children with a confirmed diagnosis of a permanent childhood hearing loss to First Steps. First Steps and CCSHCN staff are currently working on an interagency agreement that will facilitate data sharing to assure timely identification and appropriate service provision.
9. Investigate establishment of eligibility pathways for children with the following conditions: medically fragile, social communication delay/ autism spectrum, deaf/blind, and extreme prematurity.	July 2007 – June 2008	Completed. The Evaluation Subcommittee of the state ICC investigated this strategy and recommended that First Steps Central Office not pursue this at this time.

APR Template – Part C (4)

KENTUCKY
State

IMPROVEMENT ACTIVITY	TIMELINE	STATUS
10. Investigate the possibility of a seven domain rather than a five domain system for eligibility as this will likely result in greater eligibility for the areas of motor and communication delays.	July 2007 – June 2008 June 2009	Ongoing. The Evaluation Subcommittee of the state ICC investigated this strategy and recommended that First Steps Central Office not pursue this at this time. However, additional information received from a Primary Level Evaluator (PLE) survey suggests that we further consider this strategy. (Timeline extended – see below)
11. Investigate repeating the epidemiology study done in 1995 in Kentucky to predict the estimated incidence of developmental delay in the state.	July 2008 – June 2009	Ongoing. First Steps Central Office is continuing to discuss mechanisms for completing this task, including, but not limited to, utilizing social service interns assigned to the Department at various times during the year.
12. Support Child Find efforts in the local districts (DEICs and POEs) with lead agency providing training to the TATs who will in turn provide support to local community.	January 2007 – June 2010 June 2011	Ongoing. First Steps Central Office staff review program data with the TATs as well as the Points of Entry on a regular basis so that they are aware of program participation rates and can identify and address issues as problematic performance trends are observed. (Timeline extended – see below)
13. Review our established risk list yearly to ensure pertinent conditions are included that have a high probability of significant delay.	January 2007 – June 2010 June 2011	Ongoing. While the established risk list is reviewed regularly, changes have not been made to date because the list is in regulation and changes are difficult to make. First Steps Central Office staff are working to remove the established risk list from regulation so that it may be more flexible. In the meantime, children with conditions that have a high probability of significant delay, but are not on the established risk list, and who are not eligible by virtue of developmental delay, may be reviewed by an expert panel in order to assist with eligibility determination. (Timeline extended – see below)

APR Template – Part C (4)

KENTUCKY
State

IMPROVEMENT ACTIVITY	TIMELINE	STATUS
14. Review child screening procedures and revise those found to be a deterrent to children entering the system.	April 2007 – June 2008	Completed. In response to stakeholder feedback, administration of the Developmental Observation Checklist System by Initial Service Coordinators was discontinued in August, 2007.

Discussion of Progress

As indicated, Kentucky believes that program changes in 2003 and 2004, effected to reduce barriers to identification of children under age one, aided in the Birth to 1 Participation Rate increase seen in Figure 1. We believe other contributing factors are being addressed through the targeted intervention with district Points of Entry (POEs) that began in January, 2007 and contracting changes scheduled to take effect in July, 2007.

In January, 2007, First Steps Central Office staff met with POE staff and reviewed performance data, including participation rate data. Before this time POE staff had not been fully aware of their district's participation rate in comparison to other districts. Nor were they fully aware of the state's participation rate in comparison to other states with comparable eligibility criteria. This awareness has helped districts to either intensify and/or focus child find efforts in their regions.

In January, 2007 First Steps Central Office also shared with POEs information regarding SFY08 POE contracts, which were going to contain fundamental structural changes, including a series of performance incentives and penalties. One scheduled performance incentive would reward districts that achieved an Under 1 Participation Rate of 0.66% or higher. While the performance contract itself may not have impacted FFY 2006 data because it did not take effect until July 1, 2007, districts were aware in January, 2007 that performance contracting was coming and had several months to target improvement activities to impact local performance.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2006:

IMPROVEMENT ACTIVITY	TIMELINE	RESOURCES
1. Revise and renew the memorandum of agreement with Head Start/Early Head Start which addresses mutual referral policies.	Spring 2008	Resources: Central Office staff, Head Start staff Justification: Despite the passage of a year, the MOA with Head Start/Early Head Start is not finalized. First Steps Central Office will revisit this in Spring, 2008. (Timeline extended – see below)

APR Template – Part C (4)

KENTUCKY
State

IMPROVEMENT ACTIVITY	TIMELINE	RESOURCES
5. Develop a communication & referral process for newborns identified by the Expanded Newborn Metabolic Screening Program and the Kentucky Birth Surveillance Registry (KBSR) in Kentucky.	July 2006 – June 2009	Ongoing. A State System Development Initiative (SSDI) grant was awarded in December, 2007. This 5 year grant will support the development of an automated referral process for newborns identified by the Expanded Newborn Metabolic Screening Program and the KBSR. Work on this activity has been slower than anticipated, but is expected to hasten with the development of a new data system for the First Steps program. (Timeline extended – see below)
10. Investigate the possibility of a seven domain rather than a five domain system for eligibility as this will likely result in greater eligibility for the areas of motor and communication delays.	July 2007 – June 2009	Resources: Evaluation Coordinator, Central Office Staff, and workgroups. Justification: The timeline for this activity is being extended to accommodate further investigation.
12. Support Child Find efforts in the local districts (DEICs and POEs) with lead agency providing training to the TATs who will in turn provide support to local community.	January 2007 – June 2011	Resources: Part C Coordinator; Point of Entry Coordinator; DEIC; Point of Entry Staff Justification: Due to the nature of this activity, involving ongoing training and support, the timeline for this activity has been extended.
13. Review our established risk list yearly to ensure pertinent conditions are included that have a high probability of significant delay.	January 2007 – June 2011	Resources: Part C Coordinator; Full ICC and Evaluation Committee of the ICC; Quality Assurance Administrator Justification: Due to the nature of this activity, requiring annual (or more regular) review, the timeline for this activity has been extended.

Part C State Annual Performance Report (APR) for FFY 2006

Overview of the Annual Performance Report Development: see *Overview of Kentucky's State Annual Performance Report Development Process*.

Monitoring Priority: Effective General Supervision Part C / Child Find

Indicator 6: Percent of infants and toddlers birth to three with IFSPs compared to:

A. Other states with similar eligibility definitions; and

B. National data.

(20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement:

- A. Percent = [(# of infants and toddlers birth to three with IFSPs) divided by the (population of infants and toddlers birth to three)] times 100 compared to the same percent calculated for other States with similar (narrow, moderate or broad) eligibility definitions.
- B. Percent = [(# of infants and toddlers birth to three with IFSPs) divided by the (population of infants and toddlers birth to three)] times 100 compared to National data.

FFY	Measurable and Rigorous Target
2005 (2005-2006)	2.35 % of infants and toddlers aged birth to 3 in Kentucky will have IFSPs.
2006 (2006-2007)	2.40 % of infants and toddlers aged birth to 3 in Kentucky will have IFSPs.
2007 (2007-2008)	2.45 % of infants and toddlers aged birth to 3 in Kentucky will have IFSPs.
2008 (2008-2009)	2.50 % of infants and toddlers aged birth to 3 in Kentucky will have IFSPs.
2009 (2009-2010)	2.55 % of infants and toddlers aged birth to 3 in Kentucky will have IFSPs.
2010 (2010-2011)	2.60 % of infants and toddlers aged birth to 3 in Kentucky will have IFSPs.
2011 (2011-2012)	2.65 % of infants and toddlers aged birth to 3 in Kentucky will have IFSPs.

Actual Target Data for FFY 2006:

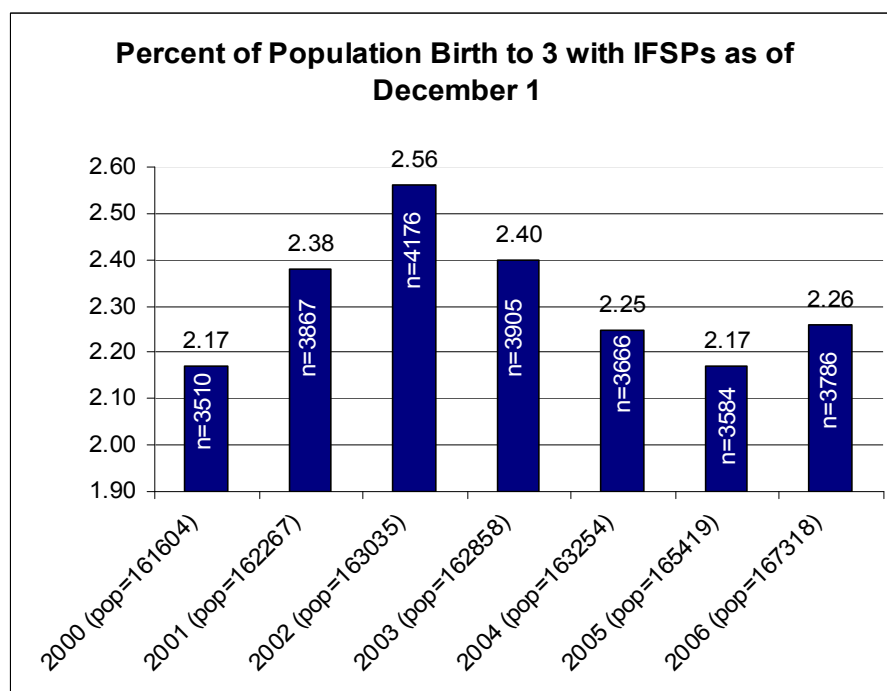


Figure 1

Kentucky's Birth to Three participation rate saw annual decreases from 2002 through 2005 (see figure 1). Changes in regulations resulting from moving the lead agency twice may partly account for the slight decrease in percentage served. Additionally, changes to the list of conditions associated with a high probability of developmental delay (established risk list) in 2002 may have also affected the percentage of all children birth to 3 served in Kentucky. Implementation of improvement activities, stability in program administration, and targeted intervention with district Points of Entry (POEs) may be contributing factors to the improvement seen from 2005 to 2006 (figure 1) above.

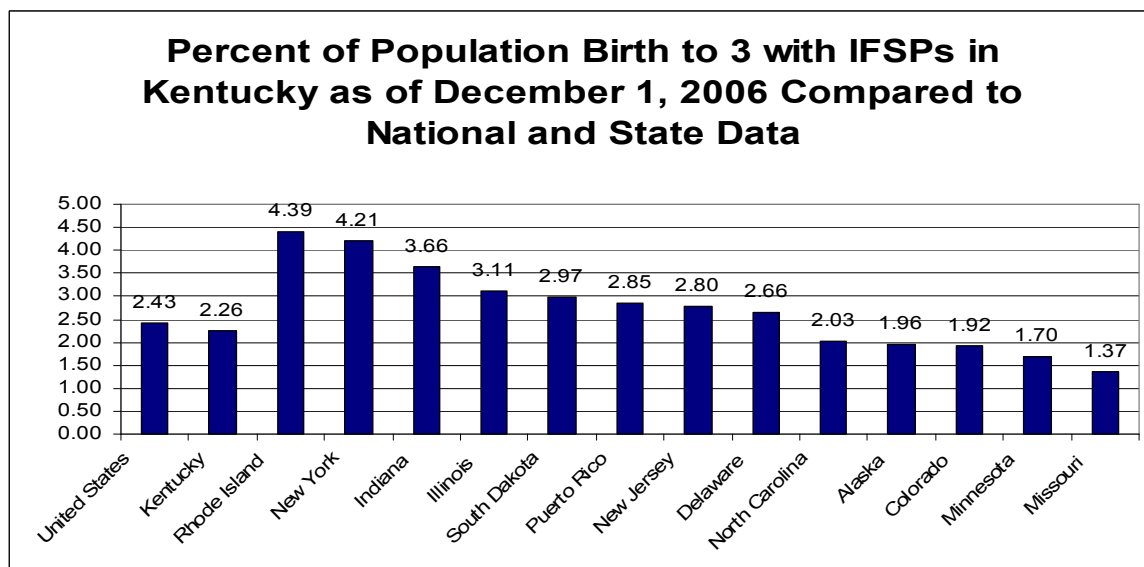


Figure 2

APR Template – Part C (4)

KENTUCKY
State

Kentucky's 2006 Birth to Three participation rate of 2.26 percent approaches the national average of 2.43 percent (see figure 2). Compared to states with similar eligibility requirements, only Delaware, New Jersey, Puerto Rico, South Dakota, Illinois, Indiana, New York, and Rhode Island have higher percentages of children served in this age category.

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2006:

IMPROVEMENT ACTIVITY	TIMELINE	STATUS
1. Ensure that all interagency partners are involved in child find as reported by the Kentucky Early Childhood Transition Project (KECTP).	July 2006 – June 2007	Completed. A State Interagency Transition Team is convened by the Kentucky Department of Education on a quarterly basis. This team is comprised of partners at the state level responsible for Child Find or who participate in Child Find, including Education, Head Start/Early Head Start, Child Care and Foster Care.
2. Expand strategies used in birth to 1 to the birth to 3 populations. Those include child find in foster care, family resource centers, head start/early head start, with pediatricians and with Early Childhood Councils in Kentucky.	July 2006 – June 2007	Completed. See Status of Indicator 5, Improvement Activities 4, 6 and 7.
3. Investigate establishment of eligibility pathways for children with the following conditions: medically fragile, social communication delay/autism spectrum, deaf/blind, and extreme prematurity.	July 2006 – June 2007	Completed. The Evaluation Subcommittee of the state ICC investigated this strategy and recommended that First Steps Central Office not pursue this at this time.
4. Investigate obtaining data from Part B on eligible 3 and 4 year olds who did not participate in Part C to identify potential gaps in child find for Part C.	July 2006 – June 2007	Completed. Data obtained in December, 2007. First Steps Central Office is working with Part B Program staff and the SPP/APR workgroup to analyze the data and determine next steps. See new Improvement Activity

APR Template – Part C (4)

KENTUCKY
State

IMPROVEMENT ACTIVITY	TIMELINE	STATUS
5. Investigate the possibility of a seven domain rather than a five domain system for eligibility as this will likely result in greater eligibility for the areas of motor and communication delays.	July 2007 – June 2008 June 2009	Ongoing. The Evaluation Subcommittee of the state ICC investigated this strategy and recommended that First Steps Central Office not pursue this at this time. However, additional information received from a Primary Level Evaluator (PLE) survey suggests that we further consider this strategy. (Timeline extended – see below)
6. Investigate repeating the epidemiology study done in 1995 in Kentucky to predict the estimated incidence of developmental delay in the state.	July 2008 – June 2009	Ongoing. First Steps Central Office is continuing to discuss mechanisms for completing this task, including, but not limited to, utilizing social service interns assigned to the Department at various times during the year.
7. Support Child find efforts in the local districts (DEICs and POEs) with Lead Agency providing training to the TATs who will in turn provide support to local community.	January 2007 – June 2010 June 2011	Ongoing. First Steps Central Office staff review program data with the TATs as well as the Points of Entry on a regular basis so that they are aware of program participation rates and can identify and address issues as problematic performance trends are observed. (Timeline extended – see below)

APR Template – Part C (4)

KENTUCKY
State

IMPROVEMENT ACTIVITY	TIMELINE	STATUS
8. Review our established risk list yearly to ensure pertinent conditions are included that have a high probability of significant delay.	January 2007 – June 2010	Ongoing. While the established risk is reviewed regularly, changes have not been made to date because the list is in regulation and changes are difficult to make. First Steps Central Office staff are working to remove the established risk list from regulation so that it may be more flexible. In the meantime, children with conditions that have a high probability of significant delay, but are not on the established risk list, and who are not eligible by virtue of developmental delay, may be reviewed by an expert panel in order to assist with eligibility determination. (Timeline extended – see below)
9. Review child screening procedures and revise those found to be a deterrent to children entering the system.	April 2007 – June 2008	Completed. In response to stakeholder feedback, administration of the Developmental Observation Checklist System by Initial Service Coordinators was discontinued in August, 2007.
10. Ensure that POE are appropriately staffed to accommodate increase Child Find referral rates.	July 2007 – June 2010	Completed. Beginning July 1, 2007, Kentucky implemented a system of performance contracting with the district Points of Entry. POEs were funded to employ a minimum number of staff and, beginning January 1, 2008 received financial penalties on a quarterly basis for failure to meet minimum staffing levels.

Discussion of Progress

We have experienced an upward trend in the percentage of IFSPs for children who are birth to three years of age. In reviewing changes in the First Steps system that may have resulted in these limited improvements, these findings suggest that changes in our list of conditions associated with a high

APR Template – Part C (4)

KENTUCKY
State

probability of developmental delay (established risk list) may have significantly contributed to these results. We believe another contributing factor to be the targeted intervention with district Points of Entry (POEs) that began in January, 2007 when First Steps Central Office staff met with POE staff and reviewed performance data, including participation rate data. Before this time POE staff had not been fully aware of their district's participation rate in comparison to other districts. Nor were they fully aware of the state's participation rate in comparison to other states with comparable eligibility criteria. This awareness has helped districts to either intensify and/or focus child find efforts in their regions.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2006 *[If applicable]*

IMPROVEMENT ACTIVITY	TIMELINE	RESOURCES
5. Investigate the possibility of a seven domain rather than a five domain system for eligibility as this will likely result in greater eligibility for the areas of motor and communication delays.	July 2007 – June 2009	Resources: ICC and Evaluation Subcommittee of the ICC; Part C Coordinator Justification: The timeline for this activity has been extended to accommodate further investigation.
7. Support Child find efforts in the local districts (DEICs and POEs) with Lead Agency providing training to the TATs who will in turn provide support to local community.	January 2007 – June 2011	Resources: Part C Coordinator; Point of Entry Coordinator; DEIC; Point of Entry Staff Justification: Due to the nature of this activity, involving ongoing training and support, the timeline for this activity has been extended
8. Review our established risk list yearly to ensure pertinent conditions are included that have a high probability of significant delay.	January 2007 – June 2011	Resources: Part C Coordinator; Full ICC and Evaluation Committee of the ICC; Quality Assurance Administrator Justification: Due to the nature of this activity, requiring annual (or more regular) review, the timeline for this activity has been extended.

APR Template – Part C (4)

KENTUCKY
State

IMPROVEMENT ACTIVITY	TIMELINE	RESOURCES
11. Work with KDE, Part B 619 to analyze the data regarding children in Part B who did not receive First Steps services collected in December, 2007 and that will be collected in December, 2008 and use that analysis to plan for needed technical assistance, changes in policy and regulation, coordinated Child Find efforts.	December 2007 – June 2010	<p>Resources: Part C Coordinator, QA Administrator, Part B staff including 619 Coordinator, SPP/APR Workgroup</p> <p>Justification: First Steps recently received data collected in December, 2007 regarding children (3 and 4 year olds) in Part B who did not receive First Steps services. First Steps and KDE, Part B 619 are working together to analyze this data and will collaborate with the SPP/APR workgroup to plan for needed technical assistance, changes in policy and regulation, coordinated Child Find efforts.</p>

Part C State Annual Performance Report (APR) for FFY 2006

Overview of the Annual Performance Report Development: see *Overview of Kentucky's State Annual Performance Report Development Process*.

Monitoring Priority: EFFECTIVE GENERAL SUPERVISION PART C / CHILD FIND

Indicator 7: Percent of eligible infants and toddlers with IFSP's for whom an evaluation and assessment and an initial IFSP meeting were conducted within Part C's 45-day timeline. (20 USC 1416(a) (3) (B) and 1442)

Measurement: Percent = # of eligible infants and toddlers with IFSP's for whom an evaluation and assessment and an initial IFSP meeting was conducted within Part C's 45-day timeline divided by # of eligible infants and toddlers evaluated and assessed times 100. Account for untimely evaluations.

FFY	Measurable and Rigorous Target
2006 (2006-2007)	100% of eligible infants and toddlers in Kentucky will have evaluation, assessment and an initial IFSP meeting conducted within Part C's 45-day timeline.

Response to Kentucky Part C FFY 2005 SPP/APR Response Table:

Kentucky's Part C FFY 2005 SPP/APR Response Table required the State to demonstrate full compliance with the 45 day timeline requirement in 34 CFR 303.321(e)(2), 303.322(e)(1) and 303.342(a), including correction of noncompliance identified in FFY 2005 and any remaining noncompliance from FFY 2004. As can be seen in Figure 1 on page 2, despite tremendous progress, Kentucky remains unable to demonstrate full compliance with the 45-day timeline requirements cited above.

In FFY 2004, no EIS programs in Kentucky were able to demonstrate substantial or full compliance with the 45-day timeline requirements. At this time, individual programs were not targeted for intervention as the problem was viewed as systemic in nature and statewide technical assistance was undertaken. A state workgroup was convened with the assistance and input of NECTAC to develop a state improvement plan.

In FFY 2005, only one EIS program in Kentucky was able to demonstrate substantial compliance with the 45-day timeline requirements. However, all programs demonstrated significant progress. Efforts to address noncompliance are detailed below under *Discussion of Progress*.

Actual Target Data for FFY 2006:

The percentage of children who had a timely IFSP between July 1, 2006 and June 30, 2007 in Kentucky was 92.5%. As can be seen below in Figure 1, this represents a tremendous improvement on this indicator over the past four years. Although still out of compliance with the federal mandate for this indicator, which requires 100% compliance, the data below shows that Kentucky has been very serious about correcting this noncompliance and as a result the state has made great strides in improving performance on this indicator.

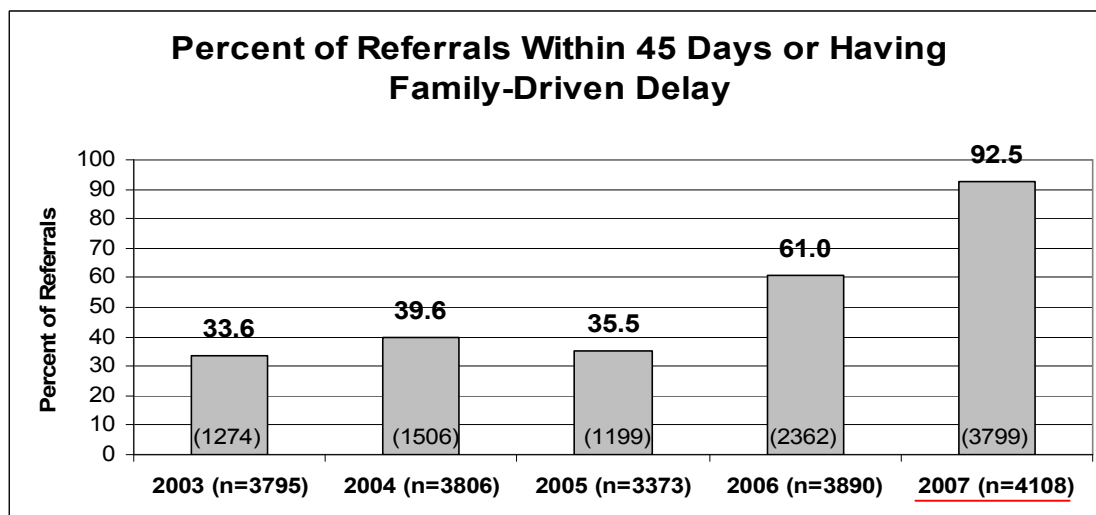


Figure 1

As can be seen in Figure 2 below, 7.5% of all IFSPs for FFY 2006 continue to fall outside of the mandated 45 day timeline. Just over 20% of IFSPs are delayed for family driven reasons. These reasons include family or child illnesses, vacations, and/or families being unavailable for some other reason. This figure is higher than reported in the past (FFY 2005 family driven delays were just 8%). This increase, however, appears to be a result of a change in the way that delays are now reported. Prior to FFY 2006, ISCs were limited in the delays they were able to record. As a result, in many cases the reason for delay was not recorded. An analysis conducted prior to this year suggested a need to change the way in which delays were reported. As a result, in December of 2006 a new system of tracking referral and intake information was instituted. An online system was made available to each Point of Entry in Kentucky. At the conclusion of each referral, initial service coordinators were instructed to report online the date of referral, contact history, whether the child achieved IFSP (or reason why not), and whether the child achieved IFSP within 45 days (or the reason why not). If the IFSP was not completed within 45 days, the ISC was instructed to record the reason for the delay. This online tracking system has allowed for a more complete record of all referrals and new IFSPs. Using the online data as the primary data source, Kentucky is now able to report on the 45 day timeline for multiple occurrences for a given child and to account for every reason for delay in the 45 day timeline. Thus, the data reported for FFY 2006 appears to be a more accurate and complete assessment of the status of IFSP timeliness in Kentucky and the true nature of the reasons for delayed IFSPs when they do occur.

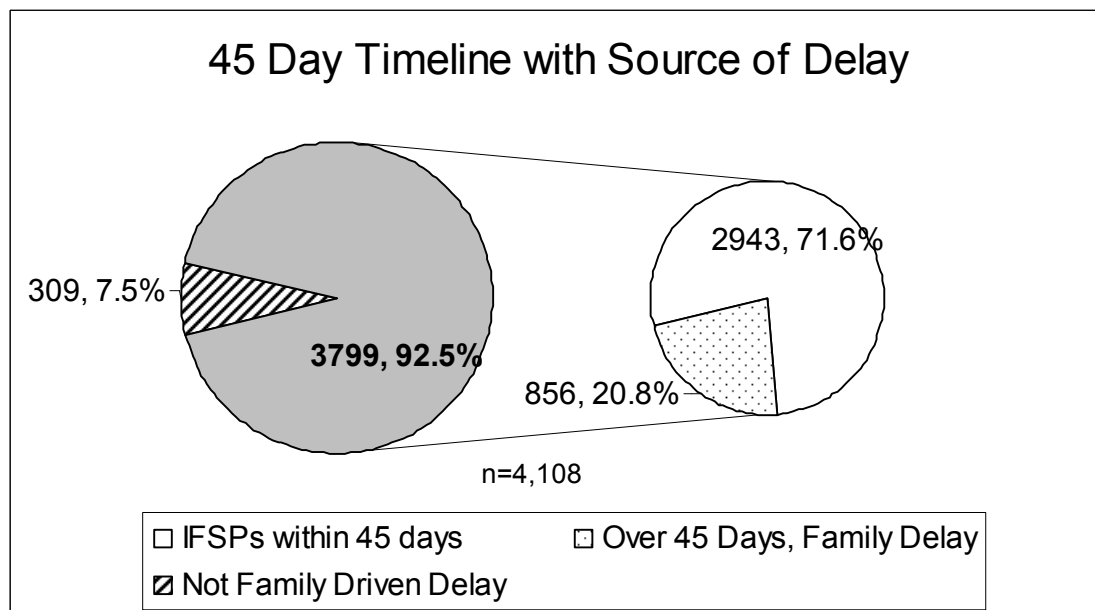


Figure 2

Kentucky selected its EIS programs based on the 15 Districts responsible for local implementation of the Part C Early Intervention program. Intake in Kentucky occurs in each of the 15 regional (district) Points of Entry. Figures 3 and 4 reflect each of the districts performance on this indicator. Figure 3 is a report of timeliness of IFSPs, documenting the number of referrals for each district and providing data on the percentage of IFSPs that were in compliance on this indicator. As can be seen in Figure 3, 11 of the 15 districts completed 95% or greater of their IFSPs in a timely manner during FFY 2006 as defined by this indicator. Included in these 11 districts was the state's largest district, accounting for more than one quarter of all referrals for FFY 2006. During FFY 2006, the state's largest district was able to complete 98.9% of their IFSPs in a timely manner and demonstrated a remarkable improvement in performance from just over 53% the previous year while serving a larger number of children. Four districts achieved 100% compliance. Further examination revealed that 13 of the 15 districts performed at 92% or better. Two districts were improved, but continued to fall well below the 100% compliance required by federal mandate. Figure 4 documents the tremendous progress of virtually all the districts over the past two years. Because reason for delay was not systematically recorded prior to 2006, further comparisons of historical data are not available.

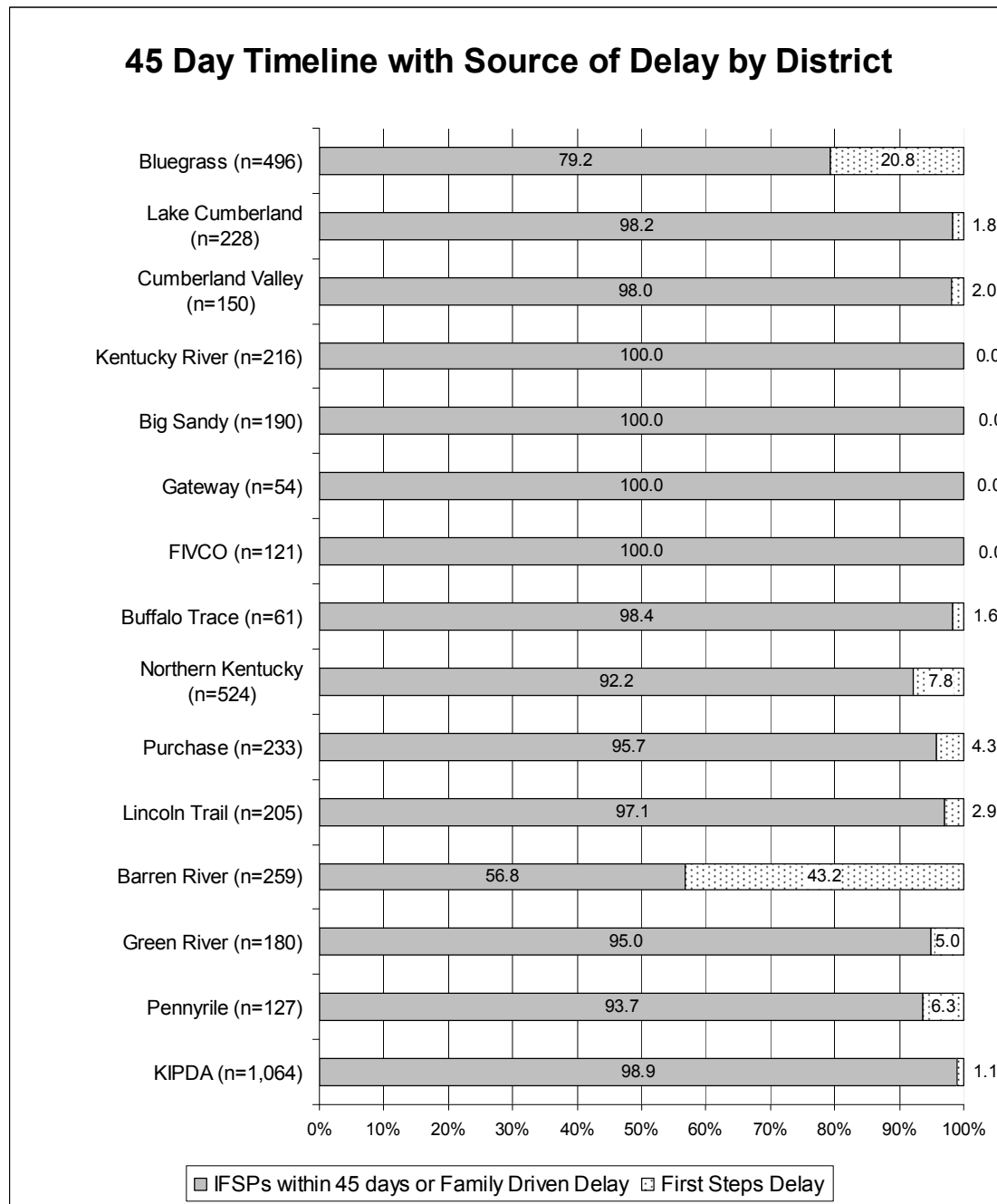


Figure 3

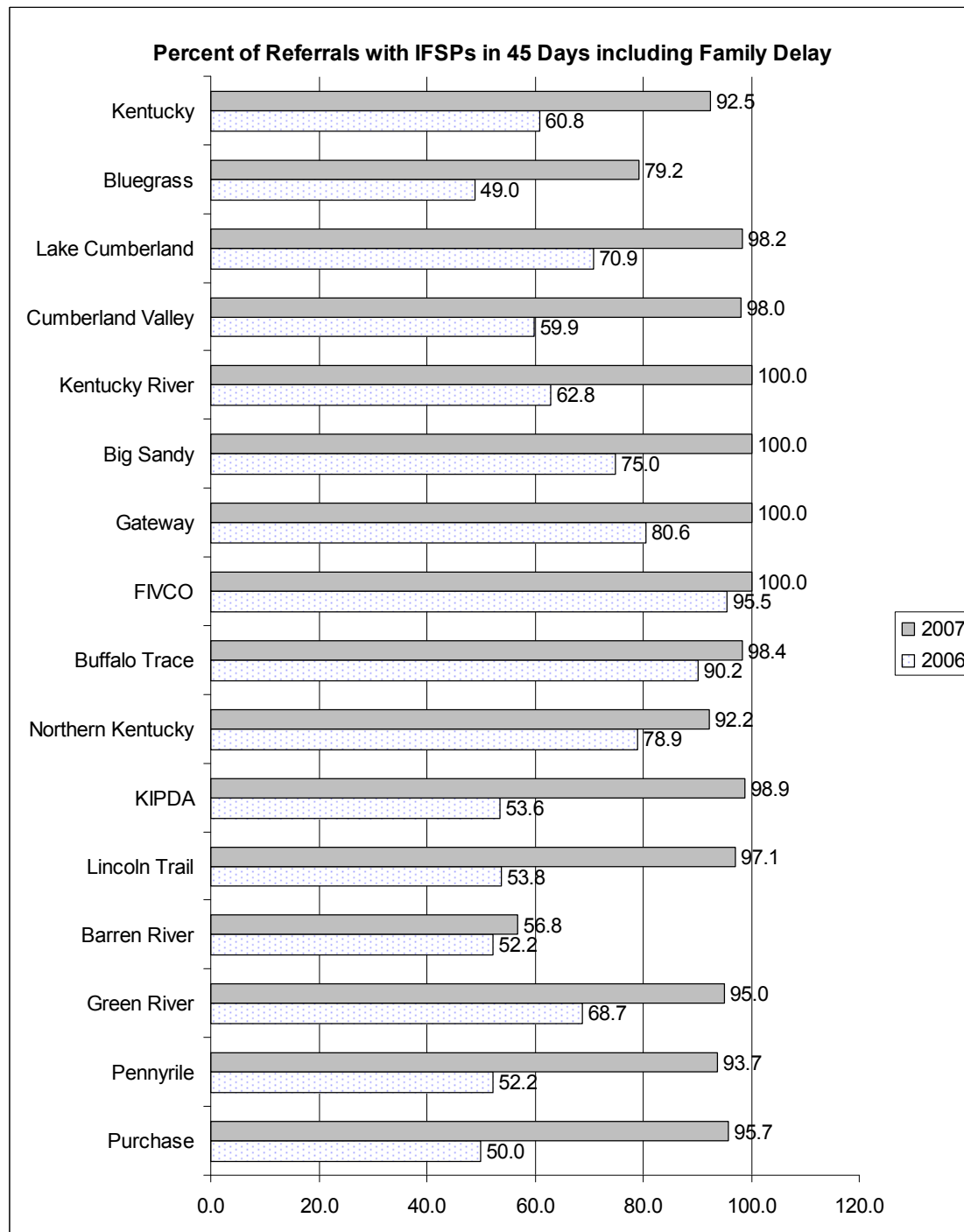


Figure 4

APR Template – Part C (4)

KENTUCKY
State

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2006:

IMPROVEMENT ACTIVITY	TIMELINE	STATUS
1. When there is an ISC vacancy, require contractors to recruit a replacement quickly, then have TA Team provide one-on-one training to newly hired ISC, so they can begin providing services sooner and not have to wait for the next regularly scheduled training module.	July 2005	Completed. FFY 2007 POE contracts now contain staffing requirements to meet this need. Specific penalties are also indicated for noncompliance with this requirement. Evaluation of each POE is completed on a quarterly basis. Trainings for new service coordinators (SCs) are now offered on a very frequent basis. 1-on-1 trainings are also provided for new SCs when necessary for immediate upstart.
2. Have staff position that provides supervision/oversight to Primary Level Evaluators to further ensure that evaluations are completed timely.	August 2005	Completed
3. Gather monitoring data on each POE relative to the 45 day timeline; analyze for problem areas.	July 2005 - June 2006	Completed. Individual district determinations were made and disseminated to each point of entry and responses to the determination were required and obtained from each POE. Root cause analyses were also completed with three of the poorest performing districts and procedures were revised and/or new strategies were developed based on the issues identified. POEs and TAs meet at least quarterly to review performance.
4. Provide training to POE's on any problems identified by monitoring of 45-day timeline.	July 2005 - June 2006	Completed. All POEs are monitored and follow up is provided where indicated.
5. Provide training to the agencies who hold Point of Entry contracts on the requirement of the 45-day timeline	July 2005 – June 2006	Completed.

APR Template – Part C (4)

KENTUCKY
State

IMPROVEMENT ACTIVITY	TIMELINE	STATUS
6. Provide training to all providers on the requirement of the 45-day timeline to increase awareness of all provider's contribution to meeting this requirement	July 2005 – June 2006	Completed. Continues to be an ongoing point of emphasis for Kentucky and within multiple communications disseminated on a regular basis (e.g. weekly Central Office newsletter, website, service coordinators meetings).
7. Investigate requiring semi-annual meetings/trainings for all providers in order to provide training/technical assistance on the 45-day timeline and other important issues.	July 2006 – June 2007	Completed. CSPD committee reconvened and discussed this issue. The committee was in agreement that regular training should be required for all providers
8. Investigate establishment of eligibility pathways for children with the following conditions: medically fragile, social communication delay/autism spectrum, deaf/blind, and extreme prematurity.	July 2006 – June 2007	Completed. At this time there are no plans to move forward with eligibility pathways but such a plan might be implemented in the future.
9. Investigate changing the state regulation time line for evaluation from 14 calendar days to 10 calendar days and the assessment time line from 10 working days to 10 calendar days.	July 2006 – June 2007	Completed. At this time analysis of the data does not support the need to change the time line for evaluation.
10. Recruit and retain adequate supply of service providers to meet evaluation, assessment and initial service coordination needs.	July 2007- June 2008	Ongoing. POE contracts now require an appropriate level of staffing. Performance by district is now posted on the website on a quarterly basis. Maps have been developed based on provider information to help assess the level of provider need.
11. Investigate the development of standard forms for all formal First Steps processes/procedures that meet state criteria. (i.e. discharge summaries; intake forms; progress notes, etc.)	July 2008 – June 2009	Ongoing. A workgroup has been established and continues to work toward accomplishing this activity.
12. Investigate having Points of Entry also do Primary Level Evaluations in order to shorten the time requirements for evaluation.	July 2008 – June 2009	This activity is being explored by First Steps administration.

APR Template – Part C (4)

KENTUCKY
State

IMPROVEMENT ACTIVITY	TIMELINE	STATUS
13. Share performance data with POE administration on a routine basis and provide targeted technical assistance to address identified performance barriers.	January 2007 – June 2011	Completed and ongoing. Data is shared with POEs on a quarterly basis and each POE meets with their respective TA quarterly to review performance and develop strategies for problem areas.
14. Continue to work with NECTAC on the state improvement plan to address compliance with the 45 day timeline.	January 2007 – June 2011	<p>Ongoing. NECTAC has proven to be a valuable partner in helping Kentucky identify and develop strategies to address barriers to performance improvement.</p> <p>Kentucky will continue to partner with NECTAC as policies/procedures are developed/revised, activities are implemented/reviewed, and performance is analyzed.</p>

Discussion of Progress:

With regard to specific improvement activities, Kentucky has worked hard to complete proposed activities as quickly as possible and in many instances has been able to complete activities well ahead of proposed timelines. Kentucky's tremendous improvement on this indicator over the past two years is evidence of the success the state has had in targeting specific strategies to address problems in the system that resulted in delays in the process whereby children entered the program. Clearly, Kentucky has made the 45 day timeline a major point of emphasis among all providers over the past two years and it is likely that the education and emphasis placed on this indicator over the past two years has been the greatest reason for improvement. At this point in the program, one would be hard pressed to find a provider in the Kentucky program who was not aware of and actively working to assure completion of the IFSP within the 45 day timeline. This clearly was not the case two years ago.

Despite the tremendous improvement of the state as a whole and most of the districts individually, two districts continue to fall well below the others with regard to their ability to complete IFSPs in a timely fashion. These two districts, in addition to a third district that demonstrated poor performance in FFY 2005, were required to complete root cause analyses of their deficiencies and address areas of need immediately. Each district cited staffing shortages as one of the reasons for their inability to complete IFSPs in a timely manner. This issue has been specifically addressed with new Point of Entry contracts currently in place. These new Point of Entry contracts now specify minimum staffing requirements and Points of Entry are required to keep staffing levels at least to these minimum levels. Specific penalties are also indicated for noncompliance with staffing levels.

To keep districts updated on their performance on this and other indicators, individual district data is now reported on a quarterly basis and posted annually on the program website. Points of Entry also meet with their respective technical assistance teams on a regular basis to review performance data and develop district specific strategies to address areas of concern. Because TAs serve multiple districts, they have the advantage of working with high performance districts and observing directly the strategies of these high performance Points of Entry that they can then share with districts performing less well.

APR Template – Part C (4)

KENTUCKY
State

As can be seen in the table above, Kentucky has taken steps toward providing a system of data entry that is streamlined and efficient for service coordinators, that captures the necessary data regarding this indicator, and that prompts service coordinators to think about the issues critical to a child's efficient and smooth entry into the program (e.g. the 45 day timeline).

Several new improvement activities are also proposed below. These new improvement activities have come out of several sources, including the root cause analyses referenced earlier, discussions with districts performing well, and many stakeholder meetings and workgroups that have been completed over the past year in an effort to make Kentucky's program one of excellence for children and families affected by disability in the state.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2006:

IMPROVEMENT ACTIVITY	TIMELINE	JUSTIFICATION
15. Investigate developing standard uniform (across districts) patient informational brief or revision to the current Family Handbook to include information emphasizing the Federal mandate to complete the IFSP and to highlight the family's role in accomplishing this.	January 2008 – June 2009	Resources: TA Team Parent Consultants, Parent Representatives on the ICC, Central Office staff Justification: Families need to better understand the Federal mandates for this program.
16. Investigate formalizing how high performance Points of Entry share strategies with lower performing Points of Entry.	January 2008 – June 2009	Resources: Central Office staff Justification: Points of Entry share strategies on an informal basis at Point of Entry meetings but there is no formal process to determine how and what information is shared and how the shared information is used by poorer performing districts.
17. Investigate restructuring eligibility determination and the process of obtaining assessments for service provision to make the process more streamlined and smooth for families.	January 2008 – June 2011	Resources: Central Office staff, ICC, POE Managers Justification: The process of evaluation and assessment should be as efficient as possible for families to allow timely entry into the program.
18. Develop a provider matrix for evaluation and service provision to make the process of selecting available service providers less time consuming.	July 2008 – June 2009	Resources: Central Office staff Justification: The process of selecting providers for evaluation and assessment should be as efficient as possible for families to facilitate timely entry into the program.

APR Template – Part C (4)

KENTUCKY
State

IMPROVEMENT ACTIVITY	TIMELINE	JUSTIFICATION
19. Investigate combining the roles of initial service coordinator and primary service coordinator to make the process of service coordination more streamlined and efficient for families.	January 2008 – June 2011	Resources: Central Office Staff, POE Administration, TA Teams, ICC Justification: The process of service coordination should be as efficient as possible for families to allow timely entry into the program while providing for the needs of the family.

Part C State Annual Performance Report (APR) FFY 2006

Overview of the Annual Performance Report Development: see *Overview of Kentucky's State Annual Performance Report Development Process*.

Monitoring Priority: EFFECTIVE GENERAL SUPERVISION PART C/EFFECTIVE TRANSITION

Indicator 8 – Percent of all children exiting Part C who received timely transition planning to support the child's transition to preschool and other appropriate community services by their third birthday including: A. IFSPs with transition steps and services; B. Notification to LEA, if child potentially eligible for Part B; and C. Transition conference, if child potentially eligible for Part B. (20 USC 1416(a)(3)(B) and 1442)

Measurement:

- A. Percent = # of children exiting Part C who have an IFSP with transition steps and services divided by the # of children exiting Part C times 100.
- B. Percent = # of children exiting Part C and potentially eligible for Part B where notification to the LEA occurred divided by the # of children exiting Part C who were potentially eligible for Part B times 100.
- C. Percent = # of children exiting Part C and potentially eligible for Part B where the transition conference occurred divided by the # of children exiting Part C who were potentially eligible for Part B times 100.

FFY	Measurable and Rigorous Target
2006 (2006-2007)	100% of all children exiting Part C will receive timely transition planning to support the child's transition to preschool and other appropriate community services by their third birthday by: having IFSPs with transition steps and services; notification of LEA if child potentially eligible for Part B; and a transition conference, if child potentially eligible for Part B.

Response to Kentucky Part C FFY 2005 SPP/APR Response Table

8A: In its FFY 2005 APR, Kentucky was unable to provide data regarding IFSPs with transition steps and services. The *Kentucky Part C FFY 2005 SPP/APR Response Table* required Kentucky to include data in the FFY 2006 APR that demonstrate full compliance with the requirements in 34 CFR 303.148(b)(4) and 303.344(h)(1), including correction of noncompliance identified in FFY 2005 and any remaining noncompliance from FFY 2004.

In September, 2007 Kentucky monitored IFSPs in the state. Program Evaluators reviewed 20 percent of IFSPs in each EIS program for all children exiting Part C in SFY07, not just those who would be potentially eligible for Part B. Results of that monitoring are outlined below under *Actual Target Data for FFY 2006*. FFY 2005 EIS program monitoring did not include a systematic review of IFSPs for transition steps and services, which is why Kentucky was unable to provide data for Indicator 8A in the FFY 2005 APR. State noncompliance has been addressed through changes in the monitoring process. The FFY 2004 SPP reported seven instances of noncompliance and reported that all noncompliance was corrected within one year.

APR Template – Part C (4)

KENTUCKY
State

- 8B: The *Kentucky Part C FFY 2005 SPP/APR Response Table* required Kentucky to report the number of children exiting Part C who are potentially eligible for Part B and the number of those children for whom the LEA (where the child resides) was notified. This data is included below under *Actual Target Data for FFY 2006*.
- 8C: The *Kentucky Part C FFY 2005 SPP/APR Response Table* required Kentucky to review and revise improvement activities to ensure that FFY 2006 APR data demonstrate full compliance with the requirements in 34 CFR 303.148(b)(2)(i) as modified by section 637(a)(9) of the IDEA, including correction of noncompliance identified in FFY 2005 and any remaining noncompliance from FFY 2004. **Kentucky has been unable to correct noncompliance from FFY 2004.** Kentucky provides FFY 2006 data as well as revised FFY 2005 data below under *Actual Target Data for FFY 2006*. Neither year's data demonstrates full compliance with the requirements in 34 CFR 303.148(b)(2)(i) as modified by section 637(a)(9) of the IDEA. However, Kentucky feels that progress has been demonstrated and improvement activities have been identified that will assist the state in achieving full compliance.

Actual Target Data for FFY 2006:

- 8A: Percent of all children exiting Part C who received timely transition planning to support the child's transition to preschool and other appropriate community services by their third birthday including *IFSPs with transition steps and services*.

Total Records Reviewed	IFSPs with Transition Steps and Services	% Compliance
523	390	74.5%

Table 1

Indicator 8 is a compliance indicator. The measurable and rigorous performance target is 100%. Kentucky selected its EIS programs based on the 15 Districts responsible for local implementation of the Part C Early Intervention program. Monitoring of 523 records completed in September, 2007 fails to demonstrate full compliance. Kentucky does not have FFY 2005 data for Indicator 8A and is therefore not able to discuss progress or slippage at this time.

- 8B: Percent of all children exiting Part C who received timely transition planning to support the child's transition to preschool and other appropriate community services by their third birthday including notification to the LEA, if the child is potentially eligible for Part B.

Notification to LEA for Children Potentially Eligible for Part B		
	FFY 2005	FFY 2006
Total Children Turning 3 and Potentially Eligible for Part B	2,529	2,599
Total Children for whom LEA was Notified	2,345	2,440
Percent of Children for whom LEA was Notified	92.7%	93.9%

TABLE 2

Indicator 8 is a compliance indicator. The measurable and rigorous performance target is 100%. First Steps automatically notifies the LEA quarterly for all children active in the program who will be turning 3 within 6 months. The FFY 2005 APR reported 100% compliance with Indicator 8B, however Kentucky recently identified an error in the automated notification which resulted in a change to the FFY 2005 data. FFY 2005 and FFY 2006 Data are included in Table 2. The error in the automated system has been fixed and all children will be in the resulting notifications in the future.

8C: Percent of all children exiting Part C who received timely transition planning to support the child's transition to preschool and other appropriate community services by their third birthday, including a Transition Conference, if potentially eligible for Part B.

FFY06 Indicator 8C Data:

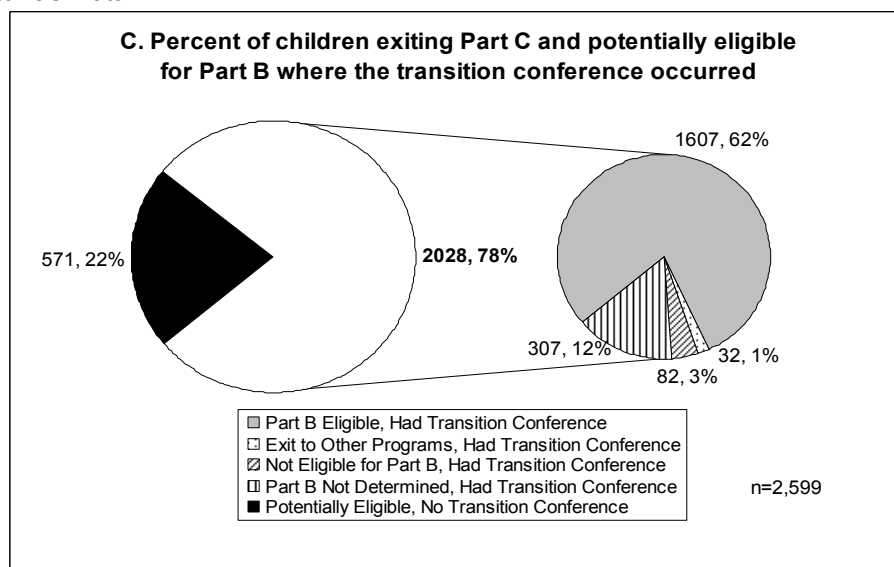


Figure 1

Revised FFY05 Indicator 8C Data:

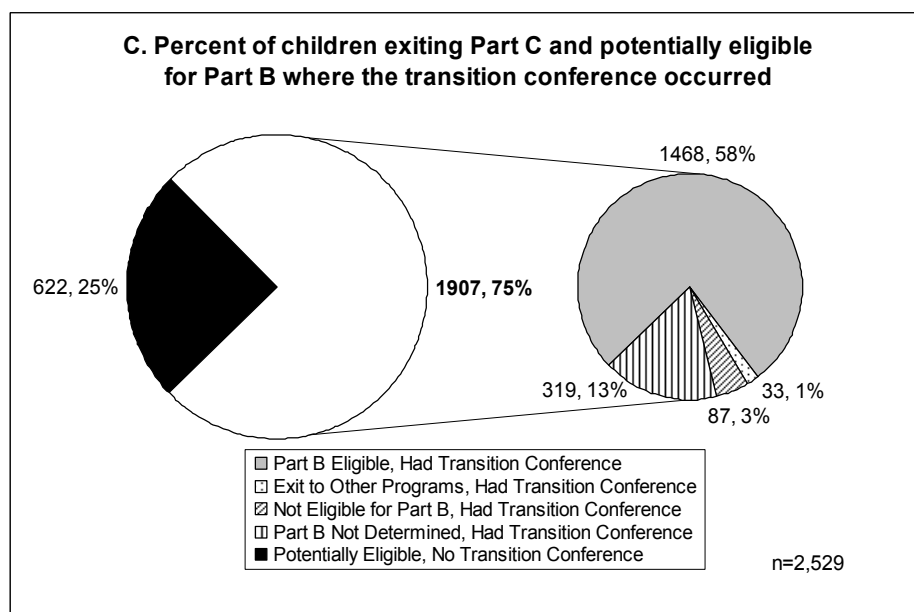


Figure 2

When the data for FFY 2006 were reviewed, an error in the calculation of the base number of children was found. This was caused by the failure of primary service coordinators to submit discharge forms to CBIS as children exited the program. Revised data for FFY 2005 are presented in Figure 2. Kentucky did not include in the calculation children for whom the state had identified the cause for the delay as exceptional family circumstances documented in the child's record. KY did not include in the calculation

APR Template – Part C (4)

KENTUCKY
State

children for whom the family did not provide approval to conduct the transition conference. As you can see in Figures 1 and 2, the numbers used to determine the calculation under this indicator do not report separately the number of documented delays attributable to family circumstances and the number of children for whom the family did not give permission.

Indicator 8 is a compliance indicator. The measurable and rigorous performance target is 100%. The revised data for FFY 2005 paint a more concerning picture than believed at this time last year. The FFY 2005 APR reported compliance with Indicator 8C at 90%. Revised data shows Kentucky to have been at 75% compliance in FFY 2005 and to have moved to 78% compliance in FFY 2006. Despite this improvement, Kentucky continues to fail to demonstrate full compliance with this indicator.

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2006:

IMPROVEMENT ACTIVITY	TIMELINE	STATUS
1. Monitor discharge summaries in each district for the date of a transition conference; and validate through program reviews.	July 2006- June 2007 June 2011	Ongoing. This activity was undertaken in October, 2007 while reviewing IFSPs for Indicator 8A. It is felt that this should not be limited to one-time monitoring, but should be an ongoing activity. The timeline has been extended through June 2011 (see below)
2. Train all providers on importance of accurate transition planning/ reporting.	July 2006- June 2007 December 2008	Ongoing. Point of Entry staff, including initial service coordinators were informed of the importance of accurate transition planning/reporting in January, 2007 when the FFY 2006 APR was discussed with them. Following that, Technical Assistance Teams provided information regarding accurate transition planning/reporting to PSCs through regional PSC quarterly meetings. First Steps staff and Kentucky Early Childhood Transition Project (KECTP) staff are currently working to update a joint training module. This training should be ready for implementation in Spring/Summer, 2008. Timeline has been extended.
3. Develop State Interagency Transition Agreement between/among all EI/EC agencies.	June, 2006	Completed.

APR Template – Part C (4)

KENTUCKY
State

IMPROVEMENT ACTIVITY	TIMELINE	STATUS
4. Train all providers on transition steps/roles/responsibilities/timelines.	July 2006- June 2007 December 2008	Ongoing. An online training was developed and piloted with the First Steps Technical Assistance Teams. The online training is in the process of refinement to include both process steps linkages and intense training on intentional planning using research based/validated practice linked to family priorities and concerns. In addition, First Steps staff and Kentucky Early Childhood Transition Project (KECTP) staff are currently working to update a joint training module. This training should be ready for implementation in Spring/Summer, 2008. Timeline has been extended.
5. Train all service coordinators on completion of the IFSP Transition Plan to assure appropriate documentation via web based training with pre-and post evaluation.	July 2007- June 2008 June 2009	Ongoing. First Steps staff and Kentucky Early Childhood Transition Project (KECTP) staff are currently working to update a joint training module. This training should be ready for implementation in Spring/Summer, 2008. Timeline has been extended.
6. Replicate decisions across agencies into regional/local interagency transition agreements.	July 2010- June 2011	Ongoing.
7. Revise monitoring forms to include specific questions to ascertain the validity of transition steps/services listed on the IFSP.	July 2006- June 2007	Completed. Monitoring using the revised form took place in October, 2007.
8. Training developed for sharing timeline targets/steps to services with the understanding that PSCs will prepare families for transition using specific steps.	July 2006- June 2007 December 2008	Ongoing. First Steps staff and Kentucky Early Childhood Transition Project (KECTP) staff are currently working to update a joint training module. This training should be ready for implementation in Spring/Summer, 2008. Timeline has been extended.
9. Develop and send a letter to inform families of the mandated transition steps.	July 2006- June 2007 June 2008	Ongoing. The letter has been developed and is in its final review stage. A Spring, 2008 implementation is anticipated. Timeline has been extended.

APR Template – Part C (4)

KENTUCKY
State

IMPROVEMENT ACTIVITY	TIMELINE	STATUS
10. CBIS will provide family survey data annually to DEICs for dissemination to Transition Teams.	July 2006- June 2007	Completed. Family Survey data is distributed via the APR to the ICC and Technical Assistance Teams who, in turn, disseminate the information to local District Early Intervention Councils (DEICs).
11. Work with KDE and other transition partners to monitor transition activities and address barriers to effective transition.	July 2007 – June 2011	Ongoing. The State Transition Team, including representatives from First Steps, Kentucky Department of Education, Head Start/Early Head Start and Child Care continues to meet on a quarterly basis to monitor transition activities and address barriers to effective transition.

Discussion of Progress by Indicator:

- 8A: Because Kentucky was unable to provide OSEP with data for Indicator 8A in FFY 2005, it is not possible to truly discuss progress or slippage. It is, however, possible to discuss *status* and *plans for improvement*. Targeted monitoring identified a compliance rate of 74.5% for indicator 8A.

Kentucky is very concerned with this finding and is undertaking a number of activities to improve compliance, including:

- Kentucky's Part C and Part B, 619 programs, which jointly fund the Kentucky Early Childhood Transition Project (KECTP) at the University of Kentucky, met and revised some of the deliverables of that Project, including prioritizing the development and implementation of a transition training called Movin' On Up, which has been reported to have been successful in Kentucky in the past.
- A project specialist with the KECTP is convening technical assistance visits with districts that are in noncompliance with Part B, Indicator 12. These visits are being coordinated in collaboration with the Regional Training Center (Part B) and the Technical Assistance Team (Part C) serving the district.
- SFY09 Primary Service Coordinator provider agreements (contracts) are being changed to include performance standards and penalties for noncompliance.
- First Steps will continue to work to merge the roles of initial and primary service coordinator under the administrative oversight of the district Point of Entry.

- 8B: While Kentucky reported 100% compliance in FFY 2005, that was not the case. The recent correction of a programming error in the automated referral process resulted in a change to the FFY 2005 data from 100% to 92.7%. When compared to the FFY 2006 data (93.9%), the program has improved, but at the close of FFY 2006 continued to fall short of full compliance. The programming error has been corrected and Kentucky fully anticipates 100% compliance in FFY 2007.

- 8C: As discussed above, an error in the calculation of the data for FFY 2005 resulted in an inflated compliance rate in last year's APR. The corrected compliance rate for FFY 2005 is 75%. The compliance rate for FFY 2006 is 78%. While Kentucky is pleased that an improvement has been demonstrated from FFY 2005 to FFY 2006, it is very concerned about the extent of the non-compliance and the failure to make more significant strides toward full compliance in one year.

As indicated earlier, Kentucky's indicator 8C data does not include children for whom the state had identified the cause for the delay as exceptional family circumstances documented in the child's record or children for whom the family did not provide approval to conduct the transition conference. Kentucky believes that including these numbers would improve the data. However, the current data system does not collect this information. As Kentucky makes plans for changes

APR Template – Part C (4)

KENTUCKY
State

to its data system, delays due to exceptional family circumstances and family refusal to provide consent for the Transition Conference will be captured so that they may be included.

Discussion of Overall Progress and Improvement Activities:

Kentucky is very concerned with its performance on indicators 8A and 8C. Kentucky understands that this performance is tied directly to the general supervision of the program and oversight of program activities, including service coordination. General supervision has been an ongoing concern voiced by OSEP and has received significant attention by the Lead Agency in Kentucky.

Kentucky believes that the provision of timely and appropriate service coordination is crucial to a child and family's successful transition from Part C to Part B or other services, if appropriate. In Kentucky, Primary Service Coordinators are responsible for transition activities, including developing and implementing transition steps and services and convening a Transition Conference. Providing sufficient oversight of Primary Service Coordination activities has been a challenge for Kentucky.

With a desire to investigate and implement evidence-based practices and in response to concerns about general supervision and oversight, Kentucky convened a state stakeholder group in January, 2007 to investigate restructuring Kentucky's system of service coordination. Kentucky's current system of service coordination is split between an Initial Service Coordinator who is responsible for activities from referral to the initial IFSP and a Primary Service Coordinator who is responsible for activities from the initial IFSP through the child's discharge from the program. ISCs are employed by regional system Points of Entry, while PSCs may or may not be employed by agencies and work through direct agreement (contract) with the Lead Agency. In April, 2007, the stakeholder group presented First Steps Central Office with a recommendation to combine the roles of Initial and Primary Service Coordinator under the administrative oversight of the regional system Points of Entry.

Kentucky explored options for this structural change, but ultimately determined that the SFY 2009 program budget would not permit it. Instead, plans were put in place to make SFY 2009 a "transition year" in which training would focus on the combined ISC/PSC role, and SFY 2010 was set as a new target date for restructuring Kentucky's system of service coordination.

Kentucky is taking additional steps to enhance its oversight of Primary Service Coordination activities and improve compliance with indicators 8A and 8C while the ISC and PSC roles remain split. Beginning July 1, 2008, PSC provider agreements will include performance standards related to transition and penalties associated with noncompliance; regional Technical Assistance Teams (TATs) will monitor local PSC activities, including data regarding the timely completion of Transition Conferences, and gauge intervention appropriately; and Part C and Part B will coordinate training efforts – targeting poorer performing districts for primary intervention.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2006:

IMPROVEMENT ACTIVITY	TIMELINE	RESOURCES
1. Monitor discharge summaries in each district for the date of a transition conference; and validate through program reviews.	July 2006- June 2011	Resources: Technical Assistance Teams, Central Office staff Justification: This activity was undertaken in October, 2007 while reviewing IFSPs for Indicator 8A. It is felt that this should not be limited to one-time monitoring, but should be an ongoing activity. The timeline has been extended through June 2011.

APR Template – Part C (4)

KENTUCKY
State

IMPROVEMENT ACTIVITY	TIMELINE	RESOURCES
2. Train all providers on importance of accurate transition planning/ reporting.	July 2006-December 2008	<p>Resources: Central Office staff, Technical Assistance Teams, Kentucky Early Childhood Transition Project (KECTP)</p> <p>Justification: Point of Entry staff, including initial service coordinators, were informed of the importance of accurate transition planning/reporting in January, 2007 when the FFY 2006 APR was discussed with them. Following that, Technical Assistance Teams provided information regarding accurate transition planning/reporting to PSCs through regional PSC quarterly meetings. First Steps staff and Kentucky Early Childhood Transition Project (KECTP) staff are currently working to update a joint training module. This training should be ready for implementation in Spring/Summer, 2008. Timeline has been extended.</p>
4. Train all providers on transition steps/roles/responsibilities/timelines.	July 2006- December 2008	<p>Resources: Central Office staff, Technical Assistance Teams, Kentucky Early Childhood Transition Project (KECTP)</p> <p>Justification: An online training was developed and piloted with the First Steps Technical Assistance Teams. The online training is in the process of refinement to include both process steps linkages and intense training on intentional planning using research based/validated practice linked to family priorities and concerns. In addition, First Steps staff and Kentucky Early Childhood Transition Project (KECTP) staff are currently working to update a joint training module. This training should be ready for implementation in Spring/Summer, 2008. Timeline has been extended.</p>

APR Template – Part C (4)

KENTUCKY
State

IMPROVEMENT ACTIVITY	TIMELINE	RESOURCES
5. Train all service coordinators on completion of the IFSP Transition Plan to assure appropriate documentation via web based training with pre-and post evaluation.	July 2007-June 2009	Resources: Central Office staff, Technical Assistance Teams, Kentucky Early Childhood Transition Project (KECTP) Justification: First Steps staff and Kentucky Early Childhood Transition Project (KECTP) staff are currently working to update a joint training module. This training should be ready for implementation in Spring/Summer, 2008. Timeline has been extended.
8. Training developed for sharing timeline targets/steps to services with the understanding that PSCs will prepare families for transition using specific steps.	July 2006- December 2008	Resources: Central Office staff, Technical Assistance Teams, Kentucky Early Childhood Transition Project (KECTP) Justification: First Steps staff and Kentucky Early Childhood Transition Project (KECTP) staff are currently working to update a joint training module. This training should be ready for implementation in Spring/Summer, 2008. Timeline has been extended.
9. Develop and send a letter to inform families of the mandated transition steps.	July 2006- June 2008	Resources: Central Office staff, Data System, KECTP Justification: The letter has been developed and in its final review stage. A Spring, 2008 implementation is anticipated. Timeline has been extended.

APR Template – Part C (4)

KENTUCKY
State

IMPROVEMENT ACTIVITY	TIMELINE	RESOURCES
12. Restructure Kentucky's model of service coordination to combine the roles of initial and primary service coordinator under the administrative oversight of the Point of Entry office.	June 2011	<p>First Steps Central Office staff, ICC, Points of Entry, PSCs, Technical Assistance Teams, Expert Consultants, as needed.</p> <p>Despite a concerted effort to combine the role of initial and primary service coordinator under the administrative oversight of the Point of Entry in FY09, budget constraints would not permit the restructuring.</p> <p>At this time First Steps Central Office is viewing SFY09 as a "transition year" during which time steps will be taken to enhance the supervision and oversight of Primary Service Coordinators and ensure that new service coordinators are able to carry out both initial and primary service coordination activities.</p>
13. Incorporate performance standards and penalties into Primary Service Coordination provider agreements in SFY09.	April 2008	<p>First Steps Central Office staff.</p> <p>As a means of enhancing the oversight of Primary Service Coordinators, First Steps Central Office will be adding performance standards and penalties to PSC provider agreements, which are up for renewal in July, 2008.</p>

Part C State Annual Performance Report (APR) for FFY 2006

Overview of the Annual Performance Report Development: see *Overview of Kentucky's Annual Performance Report Process*.

Monitoring Priority: EFFECTIVE GENERAL SUPERVISION PART C/GENERAL SUPERVISION

Indicator 9: General supervision system (including monitoring, complaints, hearings, etc.) identifies and corrects noncompliance as soon as possible but in no case later than one year from identification (20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement:

Percent of noncompliance corrected within one year of identification.

- a. # of findings of noncompliance.
- b. # of corrections completed as soon as possible but in no case later than one year from identification.

Percent = [(b) divided by (a)] times 100.

For any noncompliance not corrected within one year of identification, describe what actions, including technical assistance and/or enforcement that the State has taken.

FFY	Measurable and Rigorous Target
2006 (2006 – 2007)	100% of instances of non compliance will be identified and corrected by the general supervision system of First Steps as soon as possible but in no case later than one year from identification.

Actual Target Data for FFY 2006:

Indicator	General Supervision System Components	# of EIS Programs (Districts) Monitored	a. # of Findings of Noncompliance identified in FFY 2005 (07/01/05 – 06/30/06)	b. # of Findings from a. for which correction was verified no later than one year from identification
1. % of infants and toddlers with IFSPs who receive the early intervention services on their IFSPs in a timely manner.	Monitoring: Data Review Local APR Dispute Resolution: 1 formal complaint	15 (100%) 1 Total: 15	15 1 Total: 16	0 1 Total: 1

APR Template – Part C (4)

KENTUCKY
State

Indicator	General Supervision System Components	# of EIS Programs (Districts) Monitored	a. # of Findings of Noncompliance identified in FFY 2005 (07/01/05 – 06/30/06)	b. # of Finding from a. for which correction was verified no later than one year from identification
7. % of eligible infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting were conducted within Part C's 45-day timeline.	Monitoring: Data Review Local APR Dispute Resolution: 1 formal complaint	15 (100%) 1 Total: 15	14 1 Total 15	11 1 Total 12
8c % of all children exiting Part C with a Transition conference if child potentially eligible for Part B	Monitoring: Data Review Local APR Dispute Resolution: None	15 (100%) Total: 15	15 Total: 15	0 Total: 0 (0%)
Percent of Noncompliance Corrected within 1 Year			46	13
				28.26%

Table 1

	FFY 2004	FFY 2005	FFY 2006
Percent of Noncompliance Corrected within 1 Year	76.42%	75%	28.26%

Table 2

Kentucky's monitoring system has primarily focused on program reviews of individual providers/provider agencies within EIS programs (districts). Kentucky's FFY 2004 SPP and FFY 2005 APR used that district (EIS program) monitoring data for reporting on Indicator 9. This has resulted in an inaccurate reflection of findings of noncompliance according to clarification from the Office of Special Education Programs regarding Indicator 9 reporting, including the document *Definitions Relevant to Indicator C-9, B-15* (8/3/07). For example, a Program Evaluator may have reviewed 30 providers in a given EIS program. 5 providers may have been found to be out of compliance with the requirement to provide EI services in a timely manner. The FFY 2004 SPP and the FFY 2005 APR would have reported this as 5 findings of noncompliance for the EIS program. However, according to the document *Definitions Relevant to Indicator C-9, B-15* (8/3/07), "a state should group individual instances in a local education agency (LEA) or early intervention services (EIS) program involving the same legal requirement or standard together as one finding (except for findings identified through State complaints and due process hearings)." Therefore, this should have been reported as 1 finding for the EIS program (district).

Kentucky is taking steps this reporting year to report data in accordance with the guidance from the OSEP, including the document *Definitions Relevant to Indicator C-9, B-15* (8/3/07). FFY 2006 reporting will rely on findings identified through Kentucky's data system, targeted onsite monitoring and formal

APR Template – Part C (4)

KENTUCKY
State

complaint investigations. Kentucky selected its EIS programs based on the 15 Districts responsible for local implementation of the Part C Early Intervention program.

As a result of this reporting change, Kentucky's performance (percent of noncompliance corrected within 1 year) appears to have decreased dramatically. The state performance target for Indicator 9 is 100%. Kentucky's FFY 2006 Percent of Noncompliance Corrected within 1 Year is 28.26%. The FFY 2004 SPP and FFY 2005 APR reported individual instances of noncompliance within a district. As noncompliance was identified on an individual basis, it was monitored for improvement through action planning and targeted technical assistance, and correction of noncompliance was verified through follow-up program reviews within 6 – 9 months of the initial finding(s). Therefore, correction of noncompliance within 1 year was frequently demonstrated. With the move to monitoring by EIS program rather than individual provider, correction of noncompliance is much more difficult to demonstrate.

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2006:

IMPROVEMENT ACTIVITY	TIMELINE	STATUS
1. Work closely with Federal Contact on ways to strengthen current monitoring system.	October 2005	This Improvement Activity is not complete, but is ongoing. Given the nature of the activity, the SPP/APR Workgroup is extending the timeline for this activity.
2. Contact Mid-South Regional Resource Center, National Center for Special Education Accountability Monitoring (NCSEAM) and National Early Childhood Technical Assistance Center (NECTAC) regarding ways to develop stronger monitoring and data collection process.	October 2005	Completed. Update: The new service agreement with Mid-South Regional Resource Center includes deliverables related to the successful conversion to a new data system and targeted technical assistance related to General Supervision and Transition. In addition, First Steps Central Office continues to work with NECTAC on enhancing the General Supervision in the Part C program. A state work plan was developed by a state stakeholder group with the assistance of NECTAC focusing on compliance with the 45 day timeline. A number of activities identified in the state work plan were implemented, including: analyze data, identify performance barriers and strategies for improvement; examine screening, evaluation and assessment policies and procedures; and implement TA and monitoring mechanisms. The work plan also included pilot projects, which the state ultimately decided would involve time and resources that were not available. The pilot projects were not implemented. However, compliance with the 45 day timeline has dramatically improved.

APR Template – Part C (4)KENTUCKY
State

IMPROVEMENT ACTIVITY	TIMELINE	STATUS
3. Revisit monitoring policies and procedures with Technical Assistance Teams in order to ensure monitoring is covered in each district to identify systemic problems based on Part C requirements.	December 2006 – June, 2009	<p>A workgroup comprised of Program Evaluators was convened in December, 2006 to begin a comprehensive review and revision of the current monitoring policies and procedures. Work was interrupted mid-(fiscal) year due to other program issues, but the group has since reconvened. Mid-South RRC has assisted this group in researching the design and installation of a local district self-assessment as well as the development of comprehensive program policies and procedures.</p> <p>In addition, the QA Administrator position was filled in December, 2007. That staff person will assume responsibility for following up on this activity.</p>
4. Design a report to collect training and technical assistance activities related to specific noncompliance cited.	September 2007	<p>Completed.</p> <p>Update: Technical Assistance Teams report training and technical assistance activities. To further support this activity, First Steps Central Office is directing the focus of training and technical assistance to areas of noncompliance, including timely service provision and transition.</p>
5. Develop Training Module on Program Monitoring in relation to noncompliance issues that have been identified in order to ensure it is corrected.	September 2008	This Improvement Activity is ongoing.
6. Develop a follow-up questionnaire to trainings in order to ensure that training on correcting noncompliance is effective.	September 2008	This Improvement Activity is ongoing.
7. Provide training to providers on program review procedures in order to ensure they are familiar with the program review process.	June 2009	Ongoing (pending the review and revision of monitoring policies and procedures).
8. Develop web based reporting regarding systemic issues identified through program monitoring for providers to correct noncompliance.	June 2010	Ongoing. Kentucky released a Request For Proposal (RFP) in September, 2007 to develop and implement a web-based comprehensive data management system. This data management system will aid Central Office staff in the identification of systemic issues and assist in the timely correction of noncompliance.

APR Template – Part C (4)

KENTUCKY
State

IMPROVEMENT ACTIVITY	TIMELINE	STATUS
9. Develop policies and procedures to consistently document the receipt, investigation and resolution of formal complaints.	December 2007	Completed.
10. Review the current monitoring priority areas being reported and explore the need for reporting on additional monitoring areas.	December 2009	Ongoing.
11. Develop, implement, enhance and, as necessary, improve the use of performance data in program monitoring.	June 2007 – June 2011	Ongoing. Kentucky began using performance data in POE contracting in SFY 2008. Kentucky continues to review/revise its POE performance contracting system and has plans to implement performance contracting with PSCs in SFY 2009.

Discussion of progress by indicator:

Indicator 1

Kentucky completed a review of all 15 EIS programs in FFY 2005 via the data system. One formal complaint was received with a finding related to Indicator 1 – Timely Services. No mediations or due process hearing requests were received related to Indicator 1 or its related requirements. Data indicate that 16 findings of noncompliance were identified in FFY 2005 and one finding of noncompliance was corrected within 1 year. This was the finding associated with the formal written complaint. Eight (8) of the 15 EIS programs monitored via the data system that did not correct their noncompliance within 1 year did demonstrate minimal progress while 7 EIS programs slipped in their performance. One (1) direct service provider within an EIS program was cited for noncompliance in FFY 2005. The direct service provider was cited for failing to coordinate timely services, was provided technical assistance and successfully completed a corrective action plan within one year of the finding. The services that were delayed were coordinated following initiation of the formal complaint process. The state as a whole demonstrated progress; moving from 79% to 80% compliance

As Indicator 1 indicates, it is believed that the compliance rate does not accurately reflect program performance. Some variability was observed across districts. However, that variability was not sufficient to target specific programs for follow-up activity. Improvement activities are currently being directed at statewide training and technical assistance in order to obtain more accurate service start dates. Kentucky began discussing both state and local performance with EIS programs in January, 2007 – which may account for the small improvement in compliance. EIS program performance on Indicator 1 was a factor in the local Determinations that were made in June, 2007 and will continue to be a factor in the local Determination process.

Indicator 7

Kentucky completed a review of all 15 EIS programs in FFY 2005 via the data system. One formal complaint was received with a finding related to Indicator 7. No mediations or due process hearing requests were received related to Indicator 7 or its related requirements. Data indicate that 15 findings of noncompliance were identified in FFY 2005 and correction was verified within 1 year for 12 of those findings. The 3 EIS programs with findings that were not corrected within 1 year demonstrated significant improvement. One EIS program moved from 32.3% to 93.7%, another moved from 69.8% to 92.2% and

APR Template – Part C (4)

KENTUCKY State

the third moved from 30.3% to 56.8%. One (1) direct service provider was cited for noncompliance in FFY 2005. The direct service provider was cited for failing to notify a biological parent of an upcoming IFSP meeting. Technical assistance was provided. A second IFSP meeting was scheduled at a time and location convenient to the biological parent. The state as a whole demonstrated significant progress; moving from 61% to 92.5% compliance.

Indicator 7 details the improvement activities Kentucky has undertaken to address past and current noncompliance. The improvement activities related to training of the POEs and providers regarding the 45 day timeline appear to have made a dramatic impact on district (EIS program) compliance with this indicator.

Indicator 8C

Kentucky completed a review of all 15 EIS programs in FFY 2005 via the data system. No formal complaints, mediations or due process hearing requests were received related to Indicator 8C or its related requirements. Data indicate that all EIS programs (districts) were cited for noncompliance in FFY 2005 and no EIS programs corrected their noncompliance within 1 year. 9 EIS programs demonstrated improvement from FFY 2005 to FFY 2006. However, none achieved substantial compliance and 6 EIS programs slipped in their performance. Most Districts that slipped in their performance slipped by very few percentage points. However, 1 district slipped by 29 percentage points. A primary contributing factor in this District was a staffing shortage at the POE. This shortage caused inordinately heavy caseloads for a period of time and Transition conferences appear to have received undeservedly low priority. The staffing issue has since been resolved and Kentucky is confident that this District will demonstrate improved performance in the FFY 2007 APR.

As is indicated in Indicator 8, Kentucky is very concerned with the state's performance related to transition and is undertaking a number of efforts to address this continuing noncompliance. Kentucky made a serious attempt to enhance the oversight of Primary Service Coordinators (PSCs) by bringing them under the administrative oversight of the regional Point of Entry. Though unable to do so in SFY 2009, Kentucky remains committed to this effort and is hoping to complete this activity in SFY 2010. Kentucky is making changes to provider agreements (contracts), which are up for renewal on July 1, 2008. SFY09 provider agreements will contain performance standards and SFY09 PSC provider agreements will contain penalties for noncompliance. Kentucky is also utilizing the network of Technical Assistance Teams to facilitate performance reviews with PSCs when performance warrants.

Discussion of Overall Progress:

Kentucky's performance (percent of noncompliance corrected within 1 year) appears to have decreased dramatically. However, it is difficult to compare the FFY 2006 performance with that reported in FFY 2004 and FFY 2005 given the factors outlined above.

Over the course of FFY 2006, Kentucky took a number of steps to enhance its system of General Supervision. First, beginning July 1, 2007, Kentucky funded administrative management structures in each regional Point of Entry (POE) office. These structures consisted of a full time Manager in each office who is dedicated to the First Steps program and who, under normal circumstances, does not carry a service coordination caseload. The POE Manager is contractually responsible for a number of activities, including Child Find, Public Awareness, local interagency coordination/collaboration, administrative oversight of initial service coordination activities and documentation, and monitoring and analysis of POE performance.

At the same time (July 1, 2007), Kentucky restructured their district POE contracts to respond to program growth (or recession) and to reflect District performance. The SFY08 POE base contract award amounts were based on the number of Referrals the POE saw and the number of Referrals that made it to IFSP. This funding structure encouraged targeted Child Find activities that would serve to identify children who are potentially eligible for Part C and move those children/families to IFSP in a timely manner.

The SFY08 POE contracts included a system of incentives and penalties associated with POE performance related to the State Performance Plan (SPP)/Annual Performance Report (APR). Districts

APR Template – Part C (4)

KENTUCKY State

received incentive payments for achieving full compliance with the 45 day timeline (Referral to IFSP), for reducing the number of days families spend in intake, for increasing their Under 1 Participation Rate and for reducing the number of families who leave the program prior to IFSP due to an inability to contact the family or the family's refusal to participate. Districts were penalized for failing to sufficiently staff the POE office and/or failing to achieve substantial compliance with the 45 day timeline.

The SFY08 POE quarterly contract awards were tied directly to POE caseloads and performance. Therefore, Districts were motivated to monitor these factors closely in order to prepare for budgetary changes. To assist with this, Kentucky included in both the SFY08 POE contracts as well as the SFY08 Technical Assistance (TA) Team contracts language requiring quarterly face-to-face collaboration between the two to discuss District performance.

As discussed in Indicator 8, Kentucky made a concerted effort in FFY 2006 to enhance General Supervision through combining the role of Initial and Primary Service Coordinator under the administrative oversight of the regional Point of Entry. While budgetary constraints prevented this from occurring in FFY 2008, it may be possible to proceed in FFY 2009. Primary Service Coordinators play a pivotal role in the coordination of services in a timely manner (Indicator 1) and timely and effective Transition (Indicator 8) – the only two areas in which no district (EIS program) in Kentucky has been able to demonstrate substantial compliance. Kentucky understands the need for enhanced oversight of Primary Service Coordination activities and is taking steps to meet that need, as described above and in Indicator 8.

Another step Kentucky took toward enhancing their system of General Supervision was the issuance of District Determinations (pursuant to IDEA Section 616 and 642). The Lead Agency reviewed SFY06 performance data, as well as other local reporting data, and issued a *determination* regarding each District's ability to meet the requirements of Part C of IDEA as well as local reporting requirements. District Determinations were not made public. Districts were instructed to share their Determination with District stakeholders and work together to develop a response to the Determination.

Regional TA Teams worked with their assigned Districts to facilitate the development of the District response. Responses were due to the Lead Agency in October, 2007. All Districts submitted responses and all responses were reviewed by the Lead Agency and shared with the District's Technical Assistance Team so that implementation of improvement activities could be better supported. In addition, in the three Districts that were most significantly challenged to meet the requirements of Part C of IDEA, the Lead Agency and TA Team members participated in Root Cause Analyses (RCAs) with local stakeholders. These Districts used the results of those RCAs as a starting point in the preparation of their District response.

Kentucky released a Request For Proposal (RFP) for a web-based comprehensive data management system in the Fall, 2007. Kentucky anticipates that such a system will dramatically improve the Lead Agency's ability to provide appropriate general supervision and oversight of the First Steps program. In addition, such a system will enable both districts (EIS programs) and individual providers, including service coordinators, to monitor and respond to performance trends in a timely manner.

Finally, in October, 2007, Kentucky's Lead Agency convened the regional Program Evaluation staff to begin redesigning Kentucky's monitoring system. The group was directed to shift the focus of monitoring from onsite monitoring designed to capture individual instances of noncompliance to District surveillance designed to monitor performance trends, facilitate the timely identification of noncompliance through data review/analysis, and target onsite monitoring and/or technical assistance activities.

APR Template – Part C (4)

KENTUCKY
State

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2006:

Improvement Activity	Timeline	Justification
1. Work closely with Federal Contact on ways to strengthen current monitoring system.	October 2005 - 2011	Resources: Central Office staff, NECTAC, Mid South RRC Justification: Given the nature of the activity, the SPP/APR Workgroup is extending the timeline for this activity.
3. Revisit monitoring policies and procedures with Technical Assistance Teams in order to ensure monitoring is covered in each district to identify systemic problems based on Part C requirements.	December 2006 – June, 2009	Resources: Central Office staff, Technical Assistance Teams. Justification: The work of this group was interrupted. However, it remains necessary and valuable and the timeline has been extended to accommodate that work.

Part C State Annual Performance Report (APR) for FFY 2006

Overview of the Annual Performance Report Development: see *Overview of Kentucky's State Annual Performance Report Development Process*.

Monitoring Priority: Effective General Supervision Part C / General Supervision

Indicator 10: Percent of signed written complaints with reports issued that were resolved within 60-day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint

Measurement:

Percent = (1.1(b) + 1.1(c)) divided by (1.1) times 100

FFY	Measurable and Rigorous Target
2006 (2006-2007)	100% of signed written complaints will have reports issued and be resolved within 60-day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint
2007 (2007-2008)	100% of signed written complaints will have reports issued and be resolved within 60-day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint
2008 (2008-2009)	100% of signed written complaints will have reports issued and be resolved within 60-day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint
2009 (2009-2010)	100% of signed written complaints will have reports issued and be resolved within 60-day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint
2010 (2010-2011)	100% of signed written complaints will have reports issued and be resolved within 60-day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint

APR Template – Part C (4)

KENTUCKY
State

Actual Target Data for FFY 2006:

Table 4 of Information Collection 1820-0678; Section A

SECTION A: WRITTEN, SIGNED COMPLAINTS	
(1) Written, signed complaints total	17
(1.1) Complaints with reports issued	13
(a) Reports with findings	4
(b) Reports within timelines	13
(c) Reports with extended timelines	0
(1.2) Complaints withdrawn or dismissed	2
(1.3) Complaints pending	2
(a) Complaint pending a due process hearing	0

$$13+0 \div 13 \times 100 = 100\%$$

In FFY 2006, Kentucky had a total of 17 written formal complaints. Of the 17 complaints, 13 had reports issued, and all 13 complaints with reports issued were resolved within the 60 day timeline. Two of the complaints were withdrawn, and two complaints were pending on June 30, 2007.

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2006:

IMPROVEMENT ACTIVITY	TIMELINE	STATUS
1. Develop a Complaint form for filing formal complaints and also outline procedures to ensure families can get complaints to First Steps Administration.	June 2006	Completed
2. Revisit the complaint process and timelines with Technical Assistance Teams to ensure timely completion of complaints and thorough investigations.	September 2006	Completed
3. Revise the Family Rights Handbook to include a complaint form and procedures in order for families to be aware of how to file a formal complaint.	June 2007	Timeline extended (see below)
4. Revisit trainings for providers and families to ensure complaint process procedures are detailed and that they are aware of how to file a formal complaint.	June 2007	Timeline extended (see below)

APR Template – Part C (4)

KENTUCKY
State

IMPROVEMENT ACTIVITY	TIMELINE	STATUS
5. Monitor formal program complaints to identify compliance concerns and address negative performance trends.	June 2006-June 2011	There continues to be an ongoing need to monitor performance trends in the First Steps program and address formal program complaints in a timely manner. The Part C Coordinator, QA Administrator and SPP/APR workgroup will facilitate this activity.

Discussion of Progress:

There were a total of 6 written formal complaints in FFY 2005. This has increased in FFY 2006 to 17 written formal complaints. It is believed that the increase in the number of complaints is due in part to the improvement activities completed over the past year. Technical Assistance Teams and Point of Entry staff have been trained on the importance of fully explaining Family Rights; and with families more aware of their rights, they are more vested in ensuring quality services to their child. In addition, there has been an increased focus on the complaint process within the program in an effort to assure that any complaint is addressed in a timely manner.

Kentucky has maintained compliance with this indicator during the reporting period. Staff continue to work to ensure that families fully understand the complaint process. Kentucky will continue to work to maintain compliance during FFY 2007.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 06:

IMPROVEMENT ACTIVITY	TIMELINE	JUSTIFICATIONS/RESOURCES
3. Revise the Family Rights Handbook to include a complaint form and procedures in order for families to be aware of how to file a formal complaint.	June, 2008	Resources: Central Office Staff, TA Team Parent Consultants Justification: Work on this activity has not been completed. However, the SPP/APR Workgroup continues to feel that this will be a valuable improvement. The SPP/APR Workgroup has decided to extend the timeline for this activity from June, 2007 to June, 2008.

APR Template – Part C (4)

KENTUCKY
State

IMPROVEMENT ACTIVITY	TIMELINE	JUSTIFICATIONS/RESOURCES
4. Revisit trainings for providers and families to ensure complaint process procedures are detailed and that they are aware of how to file a formal complaint.	June, 2008	Resources: Central Office staff, Technical Assistance Teams Justification: Work on this activity has not been completed. However, the SPP/APR Workgroup continues to feel that this will be a valuable improvement. The SPP/APR Workgroup has decided to extend the timeline for this activity from June, 2007 to June, 2008.

APR Template – Part C (4)

KENTUCKY
State

Part C State Annual Performance Report (APR) for FFY 2006

Overview of the Annual Performance Report Development: see *Overview of Kentucky's State Annual Performance Report Development Process*.

Monitoring Priority: Effective General Supervision Part C / General Supervision

Indicator 11: Percent of fully adjudicated due process hearing request that were fully adjudicated within the applicable timeline. (20 U.S.C. 1416 (a)(3)(B) and 1442)

Measurement:

Percent = (3.2(a) + 3.2(b)) divided by (3.2) times 100

FFY	Measurable and Rigorous Target
2006 (2006-2007)	100% of due process hearing request will be fully adjudicated within the applicable timeline.
2007 (2007-2008)	100% of due process hearing request will be fully adjudicated within the applicable timeline.
2008 (2008-2009)	100% of due process hearing request will be fully adjudicated within the applicable timeline.
2009 (2009-2010)	100% of due process hearing request will be fully adjudicated within the applicable timeline.
2010 (2010-2011)	100% of due process hearing request will be fully adjudicated within the applicable timeline.

APR Template – Part C (4)

KENTUCKY
State

Actual Target Data for FFY 2006:

SECTION C: HEARING REQUESTS	
(3) Hearing requests total	0
(3.1) Resolution sessions	0
(a) Settlement agreements	0
(3.2) Hearings (fully adjudicated)	0
(a) Decisions within timeline	0
(b) Decisions within extended timeline	0
(3.3) Resolved without a hearing	0

There were no due process hearing requests for this time period.

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2006:

IMPROVEMENT ACTIVITY	TIMELINE	STATUS
1. Review policies and procedures for obtaining a Due Process Hearing with Technical Assistance Teams.	June 2006	Completed
2. Monitor Family Orientation trainings to ensure procedures are explained to families regarding obtaining Due Process Hearing.	June 2006	Ongoing
3. Technical Assistance Teams and Central Office staff are in the process of creating a DVD which will include a discussion of medication and due process hearing requests. The POE will provide a copy of the DVD in the packet given to each family at the time of the initial IFSP meeting. For any family that does not have the ability to watch a DVD, a more in depth discussion of the due process will be undertaken at the IFSP meeting with particular attention paid to the rights and the complaint process.	June 2007-June 2008	TAT's and Training Coordinator will facilitate this process in order to better ensure that families understand their rights, including their rights regarding dispute resolution, under Part C

APR Template – Part C (4)

KENTUCKY
State

IMPROVEMENT ACTIVITY	TIMELINE	STATUS
4. Central Office will seek input from stakeholders, including families, about the complaint process, in order to better understand the lack of formal written complaints, mediations and due process hearing requests.	June 2007-December 2009	While it is not wholly agreed that the lack of due process hearing requests is cause for concern, Kentucky feels it is important to address this matter directly with stakeholder groups in the state. The Part C Coordinator will facilitate this process.
5. Monitor due process hearing requests if/when they are received to ensure that system issues are identified and addressed in a timely manner.	June 2007-June 2011	For general supervision and accountability purposes, it is necessary to continually monitor program complaints in order to identify and address system issues. The Part C Coordinator, QA Administrator and all program evaluator will facilitate this process.

Discussion of Progress:

Kentucky had no fully adjudicated due process hearing requests in FFY 2005 or FFY 2006. Kentucky continues to exercise efforts to assure that families are aware of due process rights and procedures. Kentucky also continues to work to ensure that disputes are resolved whenever possible in a timely manner at the local level.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 06:

No revisions to proposed targets/improvement activities/timelines/ resources are being made.

APR Template – Part C (4)

KENTUCKY
State

Part C State Annual Performance Report (APR) for FFY 2006

Overview of the Annual Performance Report Development: see *Overview of Kentucky's State Annual Performance Report Development Process*.

Monitoring Priority: Effective General Supervision Part C / General Supervision

Indicator 13: Percent of mediations held that resulted in mediation agreement. (20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement:

Percent = (2.1(a)(i) + 2.1(b)(i) divided by (2.1) times 100

FFY	Measurable and Rigorous Target
2006 (2006-2007)	80% of mediations will result in mediation agreements.
2007 (2007-2008)	80% of mediations will result in mediation agreements.
2008 (2008-2009)	80% of mediations will result in mediation agreements.
2009 (2009-2010)	80% of mediations will result in mediation agreements.
2010 (2010-2011)	80% of mediations will result in mediation agreements.

APR Template – Part C (4)

KENTUCKY
State

Actual Target Data for FFY 2006:

SECTION B: MEDIATION REQUESTS	
(2) Mediation requests total	0
(2.1) Mediations	0
(a) Mediations related to due process	0
(i) Mediation agreements	0
(b) Mediations not related to due process	0
(i) Mediation agreements	0
(2.2) Mediations not held (including pending)	0

There were no mediations for this reporting period.

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2006:

IMPROVEMENT ACTIVITY	TIMELINE	STATUS
1. Review policies and procedures for obtaining a Due Process Hearing with Technical Assistance Teams.	June 2006	
2. Monitor Family Orientation trainings to ensure procedures are explained to families regarding obtaining Due process Hearing.	June 2006	
3. Technical Assistance Teams and Central Office staff are in the process of creating a DVD which will include a discussion of medication and due process hearing requests. The POE will provide a copy of the DVD in the packet given to each family at the time of the initial IFSP meeting. For any family that does not have the ability to watch a DVD, a more in depth discussion of the due process will be undertaken at the IFSP meeting with particular attention paid to the rights and the complaint process.	January 2007-December 2007	

APR Template – Part C (4)

KENTUCKY
State

IMPROVEMENT ACTIVITY	TIMELINE	STATUS
4. Central Office will seek input from stakeholders, including families, about the complaint process, in order to better understand the lack of formal written complaints, mediations and due process hearing requests.	June 2007-December 2009	While it is not wholly agreed that the lack of due process hearing requests is cause for concern, Kentucky feels it is important to address this matter directly with stakeholder groups in the state. The Part C Coordinator will facilitate this process.
5. Monitor due process hearing requests if/when they are received to ensure that system issues are identified and addressed in a timely manner.	June 2007-June 2011	For general supervision and accountability purposes, it is necessary to continually monitor program complaints in order to identify and address system issues. The Part C Coordinator, QA Administrator and all program evaluator will facilitate this process.

Discussion of Progress:

Kentucky had no requests for mediation in FFY 2005 or FFY 2006. Kentucky continues to exercise efforts to assure that families are aware of due process rights and procedures, including the ability to resolve disputes through mediation. Kentucky also continues to work to ensure that disputes are resolved whenever possible in a timely manner at the local level.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2006:

[If applicable]

No revisions to proposed targets/improvement activities/timelines/ resources are being made.

Part C State Annual Performance Report (APR) for FFY 2006

Overview of the Annual Performance Report Development: see *Overview of Kentucky's Annual Performance Report Process*.

Monitoring Priority: Effective General Supervision Part C / General Supervision

Indicator 14: State reported data (618 and State Performance Plan and Annual Performance Report) are timely and accurate. (20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement: Measurement:

State reported data, including 618 data, State Performance Plan, and Annual Performance Reports are:

- a: Submitted on or before due dates (February 1 for child count, including race and ethnicity, setting and November 1 for exiting, personnel, dispute resolution); and**
b: Accurate (describe mechanisms for ensuring accuracy)

FFY	Measurable and Rigorous Target
2006 (2006-2007)	100% of state reported data (618 and State Performance Plan and Annual Performance Report) will be timely and accurate

APR Template – Part C (4)

KENTUCKY
State

Actual Target Data for FFY 2006:

SPP/APR Data - Indicator 14				
APR Indicator	Valid and Reliable	Correct Calculation	Followed Instructions	Total
1	4 0	1	1	3 2
2	1	1	1	3
3	4 0	1	1	3 2
4	1	1	1	3
5	1	1	1	3
6	1	1	1	3
7	1	1	1	3
8a	1	1	1	3
8b	1	1	1	3
8c	1	1	1	3
9	1	1	1	3
10	1	1	1	3
11	1	1	1	3
12	4 N/A	4 N/A	4 N/A	3 0
13	1	1	1	3
			Subtotal	45 40
APR Score Calculation		Timely Submission Points - If the FFY2006 APR was submitted on-time, place the number 5 in the cell on the right.		5
		Grand Total - (Sum of subtotal and Timely Submission Points) =		50 45

618 Data - Indicator 14					
Table	Timely	Complete Data	Passed Edit Check	Responded to Data Note Requests	Total
Table 1 - Child Count Due Date: 2/1/07	1	1	1	1	4
Table 2 - Program Settings Due Date: 2/1/07	1	1	1	1	4
Table 3 - Exiting Due Date: 11/1/07	1	1	1	4 N/A	4 3
Table 4 - Dispute Resolution Due Date: 11/1/07	1	1	1	4 N/A	4 3
				Subtotal	16 14
618 Score Calculation			Grand Total (Subtotal X 3) =		48 42

APR Template – Part C (4)

KENTUCKY
State

Indicator #14 Calculation	
A. APR Grand Total	50 45
B. 618 Grand Total	48 42
C. APR Grand Total (A) + 618 Grand Total (B) =	98 87
Total NA or N/A in APR	0 3
Total NA or N/A in 618	0 6
Base	98 89
	4.0
D. Subtotal (C divided by Base*) =	0.978
	100
E. Indicator Score (Subtotal D x 100) =	97.8

Data Validity and Reliability

Data provided by the Central Billing and Information System is part of an integrated demographic, service, and billing (claims) database. The system includes a complicated set of edits and verifications when paying providers for services that require proper documentation of many aspects of children's participation in Part C. For example, if a primary service coordinator forgets to send a "summary sheet" listing the service authorizations documented in a child's IFSP, the providers serving the child will not get paid for services until the omission is corrected. Providers are generally very quick to have the PSC correct such an error. Because indicators 5 and 6 utilize the same data provided by the PSCs, child counts are generally very accurate. Without the claims component and the system edits required for claims, children that would otherwise not get counted are not lost to the database. Each of the indicators with data provided by CBIS is subject to this same kind of interrelatedness from the database. In addition, incorrect and incomplete forms are returned by CBIS to initial and primary service coordinators at the time of data entry to ensure a quality system.

SPP/APR Data

Indicator 1

Data for Indicator 1 is obtained from Kentucky's Central Billing and Information System. Calculations are based on the difference between the authorized service start date and the service claim date. Service start date data is provided by the service coordinator from the IFSP authorizing the service, and service claim date data is provided by the provider providing the service.

As Indicator 1 describes, there is a need to ensure that the service coordinators authorize a service start date that is consistent with the actual anticipated start of service rather than the IFSP Begin Date.

Indicator 2

Data for Indicator 2 is obtained from Kentucky's Central Billing and Information System. Data was collected from primary service coordinators serving the child responding to the question "Where were the majority of the child's services delivered" and given a range of options. These data were collected at every 6 month IFSP review on every active child.

Indicator 3

Data for Indicator 3 is obtained from Kentucky's Early Childhood Data System (KEDS). FFY 2006 data was provided by providers responsible for the administration of the cabinet-approved criterion referenced assessment instrument and was entered by KEDS staff at the University of Kentucky. Based on the first level crosswalk procedure, each child's scores on individual assessment items were analyzed to determine age-appropriate functioning. Percentages for the number of items on which the child scored at age level were computed based on cumulative scores over time. Using a common metric (percentages), a difference score was computed between each data point for each child. Percentile analysis was utilized to determine child inclusion for each reporting categories.

APR Template – Part C (4)

KENTUCKY
State

Indicator 4

Data for Indicator 4 is obtained from the NCSEAM survey, collected in Kentucky's Central Billing and Information System and analyzed by Kentucky's data manager. Kentucky made changes to the analysis in order to assure that the results were representative of the population served compared to the FFY 2005 APR. Revised FFY 2005 data and correct FFY 2006 data have been submitted in this APR. Surveys were mailed in Spanish and English to every child active in the December 1, 2006 child count.

Indicators 5 and 6

December 1 Child Count data reported in the Section 618 data to OSEP is used in the calculation of both the Birth to 1 and Birth to 3 participation rates. December 1 Child Count data is obtained from Kentucky's Central Billing and Information System and comes from reports submitted by Initial Service Coordinators for each child upon IFSP development. Every child with an active IFSP on December 1 is counted. The base population numbers which form the denominator for each indicator are provided by the Census.

Indicator 7

Data for Indicator 7 is obtained from Kentucky's Central Billing and Information System. Data is provided by Initial Service Coordinators via an online reporting system. Initial Service Coordinators report online the date of referral, contact history, whether the child achieved IFSP (or reason why not), and whether the child achieved IFSP within 45 days (or the reason why not).

Indicator 8A

Data for Indicator 8A is obtained from Kentucky's monitoring system. Program Evaluators reviewed 20 percent of IFSPs in each EIS program for all children exiting Part C in SFY07, not just those who would be potentially eligible for Part B. Program Evaluators looked at IFSPs in each record in order to determine whether the IFSP contained transition steps and services. The findings of those onsite monitoring visits were recorded and submitted to First Steps Central Office for analysis.

Indicator 8B

Data for Indicator 8B is obtained from Kentucky's Central Billing and Information System. First Steps automatically notifies the LEA quarterly for all children active in the program who will be turning 3 within 6 months. Kentucky recently identified an error in the automated notification which resulted in a change to the FFY 2005 data. The error has been corrected. Revised FFY 2005 and correct FFY 2006 data have been submitted in this APR.

Indicator 8C

Data for Indicator 8C is obtained from Kentucky's Central Billing and Information System. Data is provided by Primary Service Coordinators via discharge forms. When the data for FFY 2006 were reviewed, an error in the calculation of the base number of children was found. This was caused by the failure of Primary Service Coordinators to submit discharge forms with Kentucky's data system, CBIS, as children exited the program. Revised data for FFY 2005 and correct FFY 2006 data have been submitted in this APR.

Indicator 9

Data for Indicator 9 is obtained from the data sources identified for Indicators 1 through 8C (listed above). FFY 2006 reporting relies on findings identified through Kentucky's data system, targeted onsite monitoring and formal complaint investigations.

Indicators 10, 11 and 13

Data for Indicators 10, 11 and 13 is obtained from Kentucky's monitoring system. Program Evaluators receive and investigate all formal written complaints. Data regarding the numbers and types of complaints is submitted to and compiled by First Steps Central Office. Mediation and Due Process Hearing requests are submitted directly to the Cabinet for Health and Family Services. No requests were received during the reporting period.

APR Template – Part C (4)

KENTUCKY
State

618 Data

Tables 3 and 4 due November 1, 2006 were submitted 10 hours late. The tables were ready on time, but the submission deadline was overlooked while working on the FFY 2005 APR. Improvement activities were undertaken to assure timely data submission in 2007, including assigning the data submission to the Financial Administrator in Central Office. Tables 1 and 2, due on February 1, 2007, were submitted by e-mail on February 1, 2007. Tables 3 and 4, due November 1, 2007 were submitted prior to November 1, 2007.

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2006:

IMPROVEMENT ACTIVITY	TIMELINE	STATUS
1. Kentucky will continue to contract with a data manager to assure that data reports are timely and accurate.	July 2005 – June 2011	This is ongoing. Central Office staff will continue to monitor data submission to ensure timeliness and accuracy.
2. Financial Administrator will manage production of all required reports to meet timelines.	July 2005 – June 2011	This is ongoing.

Discussion of Progress:

Indicator 14 is a compliance indicator. The measurable and rigorous performance target is 100%. Kentucky is performing at 100% compliance per the rubric. Kentucky identified issues with prior year data for indicators 4, 8B and 8C, corrected those issues and has submitted revised FFY 2005 and correct FFY 2006 data in this APR.

Kentucky continues to review its data to ensure its validity and reliability. At this time it is felt that structural changes to the data system will be required to improve data quality beyond its current level. Kentucky released a Request For Proposal (RFP) for a web-based comprehensive data management system in Fall, 2007. A contract had not yet been awarded at the time of this APR submission.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2006:

[If applicable]

No revisions to proposed targets/improvement activities/timelines/ resources are being made.

First Steps Family Survey - 2006/2007

This is a survey for families receiving Early Intervention services. Your responses will help guide efforts to improve services and results for children and families. For each statement below, please select one of the following response choices: very strongly disagree, strongly disagree, disagree, agree, strongly agree, very strongly agree. You may skip any item that you feel does not apply to your family.

Use pencil or black ink only.



Fill in circles completely:



Incorrect:



Very Strongly Disagree
Strongly Disagree
Disagree
Agree
Strongly Agree
Very Strongly Agree

Family-Centered Services

1. I was offered help I needed, such as child care or transportation, to participate in the individualized Family Service Plan (IFSP) meeting(s). ☐ ☐ ☐ ☐ ☐ ☐ ☐
2. I was asked whether I wanted help in dealing with stressful situations. ☐ ☐ ☐ ☐ ☐ ☐ ☐
3. I was given choices concerning my family's services and supports. ☐ ☐ ☐ ☐ ☐ ☐ ☐
4. My family's daily routines were considered when planning for my child's services. ☐ ☐ ☐ ☐ ☐ ☐ ☐
5. I have felt part of the team when meeting to discuss my child. ☐ ☐ ☐ ☐ ☐ ☐ ☐
6. The services on our IFSP have been provided in a timely way. ☐ ☐ ☐ ☐ ☐ ☐ ☐

My family was given information about:

7. - modifications of routines, activities, and the physical setting that would help my child. ☐ ☐ ☐ ☐ ☐ ☐ ☐
8. - the rights of parents regarding First Steps services. ☐ ☐ ☐ ☐ ☐ ☐ ☐
9. - community programs that are open to all children. ☐ ☐ ☐ ☐ ☐ ☐ ☐
10. - organizations that offer support for parents of children with disabilities. ☐ ☐ ☐ ☐ ☐ ☐ ☐
11. - how to participate in different programs and services in the community. ☐ ☐ ☐ ☐ ☐ ☐ ☐
12. - opportunities for my child to play with other children. ☐ ☐ ☐ ☐ ☐ ☐ ☐
13. - how to advocate for my child and my family. ☐ ☐ ☐ ☐ ☐ ☐ ☐
14. - who to call if I am not satisfied with the services my child receives. ☐ ☐ ☐ ☐ ☐ ☐ ☐

Someone from First Steps:

15. - helped me get services like child care, transportation, respite care, or food stamps. ☐ ☐ ☐ ☐ ☐ ☐ ☐
16. - helped me get in touch with other parents for help and support. ☐ ☐ ☐ ☐ ☐ ☐ ☐
17. - asked whether the services my family was receiving were meeting our needs. ☐ ☐ ☐ ☐ ☐ ☐ ☐
18. - went out into the community with me and my child to help us get involved in community activities and services ☐ ☐ ☐ ☐ ☐ ☐ ☐

The First Steps service provider(s) that work with my child:

19. - are dependable. ☐ ☐ ☐ ☐ ☐ ☐ ☐
20. - are easy for me to talk to about my child and my family. ☐ ☐ ☐ ☐ ☐ ☐ ☐
21. - are good at working with my family. ☐ ☐ ☐ ☐ ☐ ☐ ☐
22. - My service coordinator is available to speak with me on a regular basis. ☐ ☐ ☐ ☐ ☐ ☐ ☐
23. - My service coordinator is knowledgeable and professional. ☐ ☐ ☐ ☐ ☐ ☐ ☐
24. - Written information I receive is written in an understandable way. ☐ ☐ ☐ ☐ ☐ ☐ ☐
25. - I was given information to help me prepare for my child's transition. ☐ ☐ ☐ ☐ ☐ ☐ ☐

Please turn page over →



Impact of First Steps Services on Your Family

Over the past year, First Steps services have helped me and/or my family:

26. - participate in typical activities for children and families in my community.

Very Strongly Disagree
Strongly Disagree
Disagree
Agree
Strongly Agree
Very Strongly Agree

27. - know about services in the community.

28. - improve my family's quality of life.

29. - know where to go for support to meet my child's needs.

30. - know where to go for support to meet my family's needs

31. - get the services that my child and family need.

32. - feel more confident in my skills as a parent.

33. - keep up friendships for my child and family.

34. - make changes in family routines that will benefit my child with special needs.

35. - be more effective in managing my child's behavior.

36. - do activities that are good for my child even in times of stress

37. - feel that I can get the services and supports that my child and family need.

38. - understand how the First Steps Early Intervention system works.

39. - be able to evaluate how much progress my child is making.

40. - feel that my child will be accepted and welcomed in the community.

41. - feel that my family will be accepted and welcomed in the community.

42. - communicate more effectively with the people who work with my child and family.

43. - understand the roles of the people who work with my child and family.

44. - know about my child's and family's rights concerning First Step's early intervention services.

45. - do things with and for my child that are good for my child's development

46. - understand my child's special needs.

47. - feel that my efforts are helping my child

48. Overall, how satisfied are you with First Steps **services**?

☐ Very Satisfied ☐ Satisfied ☐ Unsatisfied ☐ Very Unsatisfied

49. Overall, how satisfied are you with First Steps **providers**?

☐ Very Satisfied ☐ Satisfied ☐ Unsatisfied ☐ Very Unsatisfied

50. Did you feel that services were delivered to your family in a timely way after your last Individualized Family Service Plan meeting?

☐ Yes ☐ No

51. Do you feel that you are receiving all the early intervention services necessary to meet the needs of your child and family?

☐ Yes ☐ No

52. Please indicate your child's race/ethnicity:.

☐ White
☐ Black or African-American
☐ Hispanic or Latino
☐ Asian or Pacific Islander
☐ American Indian or Alaska Native
☐ Multi-racial

Office Use Only

--	--	--	--	--



Attachment B

Table 4 of Information Collection 1820-0678

U.S. DEPARTMENT OF EDUCATION
OFFICE OF SPECIAL EDUCATION
AND REHABILITATIVE SERVICES
OFFICE OF SPECIAL EDUCATION
PROGRAMS

TABLE 4
REPORT OF DISPUTE RESOLUTION UNDER PART C, OF THE
INDIVIDUALS WITH DISABILITIES EDUCATION ACT
2007-08

PAGE 1 OF 1
OMB NO.: 1820-0678
FORM EXPIRES: 11/30/2009

STATE: Kentucky

SECTION A: Written, signed complaints	
(1) Written, signed complaints total	17
(1.1) Complaints with reports issued	13
(a) Reports with findings	4
(b) Reports within timeline	13
(c) Reports within extended timelines	0
(1.2) Complaints withdrawn or dismissed	2
(1.3) Complaints pending	2
(a) Complaints pending a due process hearing	0

SECTION B: Mediation requests	
(2) Mediation requests total	0
(2.1) Mediations	
(a) Mediations related to due process	0
(i) Mediation agreements	0
(b) Mediations not related to due process	0
(i) Mediation agreements	0
(2.2) Mediations not held (including pending)	0

SECTION C: Hearing requests	
(3) Hearing requests total	0
(3.1) Resolution meetings (For States adopted Part B Procedures)	0
(a) Settlement agreements	0
(3.2) Hearings (fully adjudicated) (For all states)	0
(a) Decisions within timeline SELECT timeline used {30 day Part C, 30 day Part B, or 45 day Part B}	0
(b) Decisions within extended timeline (only applicable if using Part B due process hearing procedures).	0
(3.3) Resolved without a hearing	0